

People
Capability Maturity Model

Part Two — Process Areas of the People Capability Maturity Model

Part Two describes the practices that correspond to each maturity level in the People CMM. It is an elaboration of what is meant by maturity at each level of the People CMM and a guide that can be used for organizational improvement and assessment. For those who want to get a quick sense of the practices, without the rigor that is needed in applying them, an abridgment of the practices is provided in Appendix D.

Each maturity level provides a layer in the foundation for continuous improvement of the organization's workforce capability. Achieving each level of the maturity model institutionalizes a different component of workforce capability, resulting in an overall increase in the workforce capability of the organization. Each process area comprises a set of goals that, when satisfied, stabilize an important component of workforce capability. Each process area is described in terms of the practices that contribute to satisfying its goals. The practices describe the infrastructure and activities that contribute most to the effective implementation and institutionalization of the process area.

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The Managed Level — Maturity Level 2

Process Areas at the Managed Level focus on establishing a foundation of basic workforce practices that can be continuously improved to develop the capability of the workforce. This foundation of practices is initially built within units to instill a discipline for managing people and to provide a supportive work environment with adequate work resources. The unit balances work commitments with available resources. Qualified people are recruited, selected, and transitioned into assignments within the unit. Performance objectives are established for the committed work, and performance is periodically discussed to identify actions that can improve it. Individuals develop skill interpersonal communication skills to ensure that work dependencies are coordinated effectively. The knowledge and skills required for performing assignments are identified and appropriate training and development opportunities are provided. The compensation is based on an articulated strategy and is periodically adjusted to ensure equity. The process areas at Maturity Level 2 include:

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Staffing

A process area at Maturity Level 2: Managed

Purpose	The purpose of Staffing is to establish a formal process by which committed work is matched to unit resources and qualified individuals are recruited, selected, and transitioned into assignments.
Description	<p>Staffing is positioned as the primary process area at Level 2 since staffing decisions provide an organization's greatest opportunities to influence performance. All other practices designed to improve the capability of the workforce must start from the baseline of talent brought into the organization. Few organizational processes are able to demonstrate their potential benefits in organizations that are chronically overworked because of poor staffing practices.</p> <p>Staffing involves processes related to balancing the workload with available resources, recruiting, selecting among candidates for open positions, entering or leaving the organization, and transitioning into new positions.</p> <p>Matching committed work to available resources begins with analyzing proposed work to determine the skills and effort required to perform it. Individuals and workgroups then make commitments based on their assessment of the effort and resources required to satisfy commitments. The unit negotiates commitments with affected parties to balance the committed work with the resources available in the unit for performing the work. These commitments are then documented so that they can be used in other business and workforce activities.</p> <p>Recruiting activities begin when positions are opened. Tasks to be performed by individuals filling these open positions, and the characteristics of candidates who would be capable of performing the tasks, are listed. These open positions are communicated to the unit's workforce so that they can aid in recruiting and screening qualified</p>

candidates. The openings are also internally posted and communicated to external sources of qualified candidates. Responsible individuals within a unit ensure the unit is active in recruiting to meet its staffing needs. The status of recruiting activities is reviewed periodically. Lessons learned about recruiting approaches and sources are periodically assessed.

A list of qualified candidates is drawn from the results of recruiting efforts. A selection strategy is developed based on the characteristics of the position to be filled. A short list of the most qualified candidates is chosen for further consideration. The skills and experience of the candidates on the short list are thoroughly evaluated against position criteria through reference checks and other methods decided in advance. The rights and dignity of the candidates are respected throughout the selection process. Appropriate individuals in the unit participate in the selection process. Ultimately, the candidate best fitting the position criteria is selected.

The organization coordinates its activities to attract selected candidates. Transition activities are conducted to assist individuals in adjusting to either their new position or to the organization if they are a new hire. The results of the selection process are reviewed and success is measured on a periodic basis.

Outplacement activities involve determining the basis for selecting individuals to be discharged and applying these criteria consistently to all affected employees. The rights and dignity of those discharged from the organization are respected throughout the process. When individuals are discharged for unsatisfactory performance or other valid causes, the reasons are documented and discussed. When individuals voluntarily resign from the organization, the reasons for their resignation are sought and corrective actions are taken, if necessary.

Goals

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| Goal 1 | Individuals or workgroups in each unit are involved in making commitments that balance the unit's workload with approved staffing. |
| Goal 2 | Candidates are recruited for open positions. |
| Goal 3 | Staffing decisions and work assignments are based on an assessment of work qualifications and other valid criteria. |
| Goal 4 | Individuals are transitioned into and out of positions in an orderly way. |
| Goal 5 | Staffing practices are institutionalized to ensure they are performed as managed processes. |

Commitment to Perform

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|---------------------|---|
| Commitment 1 | The organization establishes and maintains a documented policy for conducting its Staffing activities. |
| | Issues typically addressed in the policy include: |
| | <ol style="list-style-type: none">1. Staffing activities comply with the business objectives and stated values of the organization.2. Staffing activities comply with all applicable laws and regulations. |

Examples of relevant laws and regulations include the following:

- Requirements to verify the right to work (i.e., citizenship, work permits, etc.)
- Regulations regarding workplace inclusiveness, such as Equal Employment Opportunity (EEO) requirements or access for the disabled, such as the Americans with Disabilities Act (ADA) requirements
- Other regulatory mandates, such as conflict of interest, licensing, or certification
- National, state, and local laws and regulations

3. Individuals or workgroups in each unit are involved in making commitments for the work that they will be held accountable for accomplishing.
4. Workloads are balanced with the staff available to perform the work.
5. Responsibilities for initiating, conducting, and approving all staffing decisions are assigned.
6. Appropriate procedures are defined, documented, and used.

These procedures are intended to define a minimal set of staffing activities. The purpose of these procedures is to keep those in units who are responsible for staffing from having to invent their own procedures. Providing standard procedures is not intended to reduce the flexibility of units to perform staffing activities best suited to their unit's needs. Using or tailoring standard procedures provides units with the guidance for conducting their staffing activities in compliance with applicable laws, regulations, and organizational policies.

The human resources function or other appropriate professionals should review all such procedures to ensure they

- Are consistent with relevant laws, regulations, and organizational policies
- Respect the rights and dignity of individuals and groups

Staffing procedures are established and maintained for:

- ☐ making commitments for work to be accomplished;
- ☐ declaring positions to be open;

- ☐ documenting open position needs, including identified selection criteria;
 - ☐ recruiting internal and external candidates;
 - ☐ announcing the availability of positions;
 - ☐ developing a list of qualified candidates;
 - ☐ evaluating and selecting the candidate whose skills and other qualifications best fit the identified selection criteria of the open position;
 - ☐ conducting background and reference checks;
 - ☐ communicating outcomes to candidates, both positive and negative;
 - ☐ handling confidential selection information;
 - ☐ transitioning selected candidates into their new position;
 - ☐ orienting selected candidates to the organization;
 - ☐ handling retirements;
 - ☐ transferring internal candidates, including releasing them from their current positions;
 - ☐ handling voluntary resignation;
 - ☐ notifying the workforce about periods for outplacements and resignations;
 - ☐ handling job abandonment;
 - ☐ discharging individuals for unsatisfactory performance or cause;
 - ☐ out-processing and conducting exit interviews with terminating employees;
 - ☐ processing workforce reductions and outplacement; and
 - ☐ ensuring appropriate distribution, use, and retention of staffing documentation, including granting access to, and ensuring confidentiality of, these staffing data.
7. The rights and dignity of individuals are to be protected during all staffing activities.
8. Reasons for voluntary separation from the organization are identified.
9. Staffing practices and activities comply with relevant laws, regulations and organizational policies.

Commitment 2 An organizational role(s) is assigned responsibility for assisting and advising units on Staffing activities and procedures.

Examples of individuals who might assist or advise units on staffing activities and procedures include the following:

- Human resources or other appropriate professionals
- Workload or planning experts
- Resource managers
- Recruiters
- Legal staff
- Trainers

Ability to Perform

Ability 1 Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Staffing activities are performed.

Examples of individuals who may be assigned responsibility for various Staffing activities include the following:

- A member of the human resources function or other appropriate professionals
- The unit manager or assistant
- A staffing or work allocation committee
- A project or group leader
- An empowered team

Ability 2 Adequate resources are provided for performing Staffing activities.

1. Documented business plans, budgets, or similar guidance are available that indicate the work to be assigned to each unit and the budget available for staffing to perform the assigned work.

2. Where feasible, experienced individuals who have expertise in Staffing methods and procedures are made available for conducting Staffing activities.
3. Resources to support Staffing activities are made available.

Examples of resources to support Staffing activities include the following:

- Guidelines for estimating workloads
- Templates for job or task descriptions
- Templates for recruiting announcements
- Instruments used in the selection process
- Candidate folders including resumes, recommendations, and correspondence
- Copies of policies such as recruiting travel, relocation, benefits, and transition
- Standard forms for documenting Staffing activities

4. Support for Staffing activities is made available.

Examples of support for Staffing activities include the following:

- Recruiting trips
- Announcements and advertising
- Candidate interview trips
- Finder's fees
- Time for interviewing and evaluating candidates
- Staff involvement in staffing processes
- Orientation courses and materials

5. Adequate funding is provided for the approved positions within a unit.

Adequate funding for positions involves funding for all components of compensation and any other non-Work Environment-related funding needs.

Ability 3

Individuals performing Staffing activities receive the preparation in methods and procedures needed to perform their responsibilities.

Examples of methods in which individuals may receive training include the following:

- Laws and regulations governing selection and employment
- Position, workload, and task analysis
- Staffing procedures required by organizational policy
- Developing and weighting selection criteria
- Interviewing skills
- Selection techniques and candidate evaluation
- Orienting and transitioning individuals into new positions

Ability 4

Individuals participating in Staffing activities receive appropriate orientation in Staffing practices.

Examples of issues to be imparted through orientation include the following:

- Laws and regulations governing staffing
- Organizational policies governing staffing
- Selection methods and criteria

Practices Performed

Practice 1

Responsible individuals plan and coordinate the staffing activities of their units in accordance with documented policies and procedures.

1. Unit staffing activities are based on the effort and skills required to accomplish the unit's committed work.

2. Unit staffing activities are planned and tracked.
3. Unit staffing activities are conducted according to the organization's documented policies and procedures.
4. Unit staffing activities are defined and conducted with the assistance and approval of human resources or other groups with organizational responsibility for staffing practices and activities.
5. Unit staffing activities are reviewed with appropriate levels of management, as required.

Practice 2

Each unit analyzes its proposed work to determine the effort and skills required.

Examples of sources of a unit's proposed work include the following:

- The organization's strategic business plan or objectives
- Divisional or departmental business plans or objectives
- A unit's approved business plan or objectives
- A project's statement of work, work breakdown structure, or plan
- Responsibilities allocated to a unit as part of a larger project or organizational undertaking
- Anticipated flow of work
- Standard organization-wide activities
- A documented agreement with higher organizational levels about the type and amount of work to be undertaken

1. A unit's proposed work is analyzed to determine the types of tasks and effort required to perform them.

Examples of factors to be considered in analyzing workload include the following:

- Length of a workday and workweek
- Regulations and expectations about overtime
- Choices among methods for performing the work
- Primary tasks that constitute the work
- Amount of effort required to perform these tasks
- Cognitive and physical characteristics of these tasks

2. The types of skills needed to perform proposed work are identified.

Examples of factors this analysis should consider include the following:

- Match of skills to required tasks
- Experience available in needed skills
- Typical productivity of people at different experience levels
- Length of time typically required to fill open positions
- Performance expectations regarding the proposed work

Practice 3

Individuals and workgroups participate in making commitments for work they will be accountable for performing.

1. Responsible individuals in each unit identify the scope of the proposed work to be performed and the work products or services to be produced, and communicate this information to those who will perform the work.

The purpose of this practice is to ensure that the people doing the work have a common understanding of the work to be performed and work products to be produced.

2. Individuals are involved in reviewing the work proposed for a unit and, when appropriate, approving the inputs (such as requirements) that initiate the work.
3. Individuals or workgroups are involved in analyzing how work should be allocated within the unit.

4. Individuals or workgroups are involved in estimating the resources, effort, and schedule required to accomplish the work that they have been allocated.
5. Individuals or workgroups negotiate to balance their workload with anticipated resources and time.
6. Individuals or workgroups establish commitments they will be held accountable for meeting.

A commitment is a pact that is freely assumed, visible, and expected to be kept by all involved.
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7. Individuals or workgroups participate in reviewing and approving the work commitments made by the unit.
8. Individuals or workgroups are involved in reviewing progress against commitments and, when necessary, making changes to the commitments regarding their work.
9. Individuals or workgroups participate in replanning committed work that could alter their commitments.

Practice 4**Each unit documents work commitments that balance its workload with available staff and other required resources.**

1. Each unit's committed work incorporates, and is consistent with, the commitments established by individuals or workgroups within the unit.
2. Units make commitments for which they expect to have adequate staffing or other required resources.

Units can make commitments for which their current staffing and other required resources are inadequate, if needed resources have been approved and are expected to be obtained in sufficient time to meet commitments. If a unit makes commitments in the absence of a plan that provides the required staffing or makes available resources in sufficient time to meet the commitments, business and workforce risks should be identified and communicated.

If chronic overtime results from over-committed work, corrective action to reduce excessive overtime should be planned and tracked to closure, unless continuing overtime is acceptable to members of a unit. Even when members of a unit accept or request overtime, the levels of overtime worked should be monitored and corrective action taken.

3. Each unit's commitments are negotiated with those to whom the unit is accountable.

Examples of those to whom the unit may be accountable include the following:

- Management
- A program or project
- Other units with which the unit shares dependencies
- Internal or external customers

4. If the number and type of staff required to accomplish the committed work are not available, potential position openings are identified.

Refer to Practice 6 for information regarding the analysis, documentation, and approval of potential position openings.

5. If potential positions required for performing proposed work are not opened, commitments are adjusted accordingly.
6. Each unit documents its commitments to form the basis for its staffing, performance management, compensation, and other business or workforce activities.

Practice 5

Individual work assignments are managed to balance committed work among individuals and units.

1. Individual workloads are periodically evaluated to ensure they are balanced, and adjustments are made to individual commitments as needed to improve balance and avoid overload.
2. When an individual's committed work is nearing completion, opportunities are sought to apply their effort to other business activities in their current unit or in other units.
3. When individuals are responsible for committed work in several units, those to whom their responsibilities report coordinate to:
 - ☐ ensure the combined commitments do not create work overload,
 - ☐ coordinate expectations for timing of work and results,

- ☐ resolve conflicts among work commitments, and
- ☐ allocate the responsibilities for workforce activities involving the affected individual(s), as appropriate.

Practice 6**Position openings within a unit are analyzed, documented, and approved.**

1. When the committed or proposed work exceeds the unit's current capacity, the unit proposes to open positions for additional staff.
2. Tasks to be performed by each open position are identified and documented.
3. Characteristics of candidates who are capable of performing the tasks involved in each open position are defined and documented.

Examples of relevant characteristics may include the following:

- Job-related knowledge
- Task-related skills, including the critical skills needed by successful candidates to perform assigned tasks (*Critical skills* are those skills that, if not performed effectively, could jeopardize the successful performance of assigned tasks.)
- Work habits
- Ability to work in groups or teams
- Development potential within the organization
- Years of relevant experience
- Related accomplishments
- Education, as evidenced by degrees or training certificates
- Willingness to accept the tasks, job characteristics, and work conditions of the position

4. The primary source(s) for filling each open position is determined.

Examples of sources for filling positions may include the following:

- Internal recruiting
- External recruiting
- Temporary or contract staff
- Consultants

5. Position openings are approved according to a documented procedure based on:

- ☐ increased workload,
- ☐ budget,
- ☐ departed staff, or
- ☐ other relevant criteria.

Practice 7

Position openings within the organization are widely communicated.

1. Appropriate mechanisms are selected and used for communicating open positions.

Communication is intended to be made to those in the relevant population who may have the characteristics of candidates capable of performing the tasks. In some cases, the organization may focus its communications activities because the relevant candidate pool is narrow. Examples of those who may receive focused communication of position openings include the following:

- Potential candidates with highly-specialized qualifications.
- Potential candidates for critical positions who have been prepared through succession planning.
Refer to Practice 8 of the Workforce Planning process area for information regarding succession planning.
- Potential candidates internal to the organization.

2. Open positions are communicated throughout the organization so that qualified individuals can apply for the opening.

3. Open positions within a unit are regularly communicated to members of the unit so that they can assist in recruiting qualified candidates.

Practice 8

Units with open positions recruit for qualified individuals.

1. The individual(s) responsible for a unit's staffing activities coordinate actions taken to attract qualified candidates for open positions.
2. Units coordinate requirements for open positions with recruiting resources at the organizational level, if they exist, and the unit's activities are performed within the recruiting context established by the organization.

Each unit is responsible for meeting its commitments, and therefore is ultimately responsible for filling the positions required to perform committed work. The unit should take an active role in identifying and attracting individuals qualified to fill open positions.

3. Within the context of organizational activities, the unit takes action to use both internal and external mechanisms, as appropriate, to attract qualified individuals.
4. Individuals in a unit are encouraged to identify and attract qualified candidates for open positions, as appropriate.

Practice 9**External recruiting activities by the organization are planned and coordinated with unit requirements.**

1. Responsibilities for external recruiting activities are coordinated between the unit and the organization, and recruiting activities are planned.

External recruiting activities can be conducted either by members of the unit or by the organization, depending on the source of candidates being approached. When the organization takes responsibility for approaching a source of candidates, it should represent both current and anticipated needs of units in the organization.

2. Likely sources of candidates who are qualified for open positions are identified.

Examples of sources of likely candidates include the following:

- Universities
- Technical schools
- Trade publications
- Bulletin boards
- Advertisements
- Professional, trade, or honorary societies
- Professional conferences and trade shows
- Minority recruitment sources
- Professional recruiters
- Colleagues
- Other relevant sources

3. Position openings are communicated to external sources through relevant media.
4. A designated individual(s) follows up with external sources to aid in contacting qualified candidates.
5. Interest from qualified candidates is coordinated with units that have open positions.

Practice 10

A selection process and appropriate selection criteria are defined for each open position.

1. Selection criteria are defined from:
 - ☐ the tasks, job characteristics, and work conditions of the open position,
 - ☐ characteristics of candidates who are capable of performing the work responsibilities of the open position,
 - ☐ other skill needs of the unit or organization, and
 - ☐ other staffing objectives of the organization.

2. Activities for evaluating the qualifications and fitness of each candidate against the selection criteria are defined.

Examples of activities for evaluating candidates include the following:

- Individual interviews
- Group interviews
- Formal structured interviews
- Presentations
- Sample tasks
- Reviews of the candidate's portfolio
- Selection center exercises
- Biographical/experience inventories
- Job-related tests
- Other appropriate methods

3. The selection activities defined are organized into a selection process for the open position.
4. The selection activities and process are reviewed by an appropriate individual from the human resources function to ensure that they respect the rights and dignity of each candidate chosen for further consideration and that they are consistent with all laws, regulations, and organizational policies governing selection decisions.
5. The selection process is communicated to the existing workforce and candidates involved.

Practice 11

Each unit, in conjunction with its human resources function, conducts a selection process for each position it intends to fill.

1. A list of candidates for each position is drawn from recruiting activities, maintained throughout the selection process, and retained for future use.

Examples of uses for this retained list include the following:

- Reports of staffing activities required by laws and regulations
- Analyses to determine the most effective sources of candidates
- Analyzing factors influencing recruiting success and failure

2. A set of qualified candidates is invited to undergo further evaluation through the selection process.
3. The selection process is performed to generate information regarding candidates' qualifications and fitness relative to the identified selection criteria for the position.
4. Candidates are provided information regarding the tasks, job characteristics, and work conditions of the position that would help them evaluate their own suitability for the position.
5. The selected candidate's background and references are checked according to a documented procedure.
6. Appropriate members of the unit participate in the selection process and provide input to the selection decision.
7. Documentation from the selection process is systematically maintained according to a documented procedure.

Issues covered in the procedure might include the following:

- What information will be maintained
- How long documentation will be maintained
- Who has access to the documentation
- How documents may be inspected and challenged
- How documentation security will be maintained
- How the documentation may be used

Practice 12

Positions are offered to the candidate whose skills and other qualifications best fit the open position.

1. The identified selection criteria are consistently applied to all candidates involved in the selection process.

2. All qualified candidates are compared regarding their relative fitness for the open position, and the candidate whose skills and other valid attributes best fit the open position is selected.

Although position-relevant skills are usually the most important criteria for selecting among candidates, other valid criteria may be considered in making a decision. Examples of other valid criteria may include the following:

- Potential learning curve in acquiring critical skills
- Breadth of skills beyond those required by the open position
- Experience within a particular domain of work or market segment
- Likelihood of developing good working relationships with other members of a group or unit
- Orientation to important business objectives
- Potential to grow in the position or organization
- Organizational objectives for shaping the workforce

3. Timely feedback is provided to all candidates regarding the results of the selection process.

Practice 13**The organization acts in a timely manner to attract the selected candidate.**

1. The hiring process is designed to respond within sufficient time to attract selected candidates.
2. Within reason and fairness to the existing workforce, the hiring unit attempts to coordinate the arrangements for the position with the attributes and expectations of the selected candidate.
3. Terms of the offer are negotiated with the selected candidate in accordance with the documented policies of the organization.

Usually, the human resources staff handles the terms of the offer. However, those in the hiring unit who are responsible for administering compensation decisions should be a party to these negotiations, since the outcome of these negotiations can create imbalances in the unit's compensation and benefits profile.

Examples of the terms of the offer that can be negotiated include the following:

- Job level and title
- Salary and benefits
- Probationary period
- Relocation
- Training
- Assignment and tasks
- Office arrangements
- Privileges
- Other appropriate issues

Practice 14**The selected candidate is transitioned into the new position.**

1. Responsibilities are assigned for transition activities.

Examples of transition activities include the following:

- Relocation planning
- House-hunting
- Setting up a computing environment
- Preparing an office and required equipment
- Selecting an orientation mentor
- Meeting existing members of the unit
- Orientation to the job
- Orientation to the organization

2. Transition activities are planned and performed.

3. When individuals transition among work assignments within the organization, workforce activities involving them are either completed or transitioned with them, as appropriate.

Transitions among work assignments may occur within or across units. Examples of workforce activities for which responsibilities must be transitioned appropriately include the following:

- Establishing new work commitments
- Recording the results of performance against completed commitments
- Orienting to new work activities or a new unit
- Identifying training needs related to new assignments
- Establishing new performance objectives

4. Orientation to the organization is provided to the newly assigned individual.

Examples of information typically presented in an orientation include the following:

- Business objectives and stated values of the organization
- Company and organizational structure
- The organization's business (i.e., the products, software, or services it provides)
- Relevant policies
- Employee benefits and services
- Computing and information facilities
- Other appropriate issues

5. Orientation to the unit and job responsibilities is provided to the newly assigned individual.

Each newly assigned individual typically receives job orientation through a number of mechanisms during their transition period. These mechanisms can include the following:

- Orientation sessions
- Learning activities
- On-the-job training
- Guidance from people in the unit

Examples of information typically presented in a job orientation include the following:

- Description of initial tasks
- People in the unit
- Ordinary unit processes and procedures
- Job-related knowledge
- Location of resources, such as computing facilities, information sources, and supplies
- Upcoming events and schedules
- Other appropriate issues

Practice 15

Representative members of a unit participate in its staffing activities.

1. Unless their participation in specific staffing activities is inappropriate, members of the unit participate in staffing activities.

The knowledge and experience of individuals in a unit should be incorporated into the unit's staffing activities and decisions. In some cases, it may be impractical to include all members of a unit in a specific staffing activity; however, representative members should be selected to participate.

Examples of staffing activities in which members of the unit can participate include the following:

- Analyzing tasks
- Identifying characteristics of qualified candidates
- Recruiting
- Referring potential candidates
- Screening potential candidates
- Evaluating qualified candidates
- Making selection decisions
- Checking references
- Attracting selected candidates
- Mentoring or orienting newly assigned individuals
- Other relevant activities

Examples of reasons why it may be inappropriate for some or all members of a unit to participate in specific staffing activities include the following:

- Lack of knowledge required for providing useful input to a specific staffing decision
- Exposure to confidential information
- Protection of privacy
- Security

2. In some cases, members of a unit may be invited to participate in staffing activities based on relevant characteristics.

Examples of relevant characteristics on which members of a unit might be selected to participate in staffing activities include the following:

- Technical experience or expertise
- Organizational tenure
- Membership in appropriate groups
- Knowledge of relevant laws and regulations
- Selection by other members of the unit
- Availability
- Preparation for participating in staffing activities

3. Each unit periodically reviews the status of its staffing activities with all members of the unit.
4. Each unit reviews and documents lessons learned from its staffing activities.

Practice 16

Workforce reduction and other outplacement activities, when required, are conducted according to the organization's policies and procedures.

Examples of reasons for outplacement include the following:

- Workforce reductions
- Workforce restructuring
- Loss of budget or work
- Shifts in skill needs
- Changes in location of facilities

1. The criteria for retaining or releasing individuals are defined in each unit where a workforce reduction or other outplacement activities are planned.

Examples of criteria for retaining or releasing individuals include the following:

- Unit's activities and workload
- Tasks to be performed
- Job characteristics
- Skill requirements
- Individual performance results

2. The identified criteria are consistently applied to all individuals subject to workforce reductions or other outplacement actions.
3. Workforce reduction and outplacement activities are reviewed to ensure that they respect the rights and dignity of each individual and that they are consistent with all applicable laws (e.g., the Worker Adjustment and Retraining Notification Act, Consolidated Omnibus Budget Reconciliation Act (COBRA), Health Insurance Portability and Accountability Act (HIPAA), etc.), regulations, and organizational policies governing staffing and discharge decisions.
4. Workforce reduction and outplacement activities are communicated to those affected.
5. Individuals to be discharged from a unit are made aware of open positions within the organization, when appropriate.

6. The discharge of individuals from the organization is handled according to a documented procedure.

Examples of issues that might be included in the documented procedure include the following:

- Methods for identifying individuals to be discharged
- Documentation required to justify or support discharge
- Methods for reviewing and approving discharge decisions
- How individuals will be informed of their discharge
- Actions to be taken during the discharge process
- Disposition of personal and organizational property
- Appropriate access to work premises
- Severance package
- Outplacement assistance

7. Communication concerning outplacement(s) is made to individuals or workgroups who might be affected by them.

Examples of information to be communicated concerning outplacement include the following:

- Timing of the outplacement(s) and its extent
- Causes for the outplacement, if appropriate
- Support being provided to outplaced individuals, if appropriate
- In the case of multiple outplacements, the status of whether outplacements will continue or whether they have been completed

8. The secure status of essential individuals the unit or organization intends to retain is reinforced through direct communication.

Examples of information to be communicated to those not subject to outplacement include the following:

- Statements of job security, where appropriate
- Strong messages of commitment to individuals or workgroups that the unit or organization intends to retain

Practice 17**Discharges for unsatisfactory performance or other valid reasons are conducted according to the organization's policies and procedures.**

1. Individuals are informed of behaviors that could result in discharge.

Examples of reasons for discharge could include the following:

- Unsatisfactory performance
- Misconduct

Refer to Practices 10 through 12 of the Performance Management process area for information regarding communication about unsatisfactory performance.

2. Actual behaviors or performance that could result in discharge are documented and discussed with the affected individual.
3. The decision to discharge an individual is reviewed and approved by appropriate managers and the human resources function before action is taken.
4. The discharge of an individual from the organization is handled according to a documented procedure.

Examples of issues that might be included in the procedure include the following:

- Documentation required to justify or support discharge
- Methods for reviewing and approving discharge decisions
- How individuals will be informed of their discharge
- Actions to be taken during the discharge process
- Disposition of personal and organizational property
- Appropriate access to work premises
- Severance package
- Limits on the information that can be provided about the individual's former employment

5. Communication concerning the discharge is made to individuals or workgroups who might be affected by it.

Practice 18**Causes of voluntary resignation from the organization are identified and addressed.**

Although voluntary resignation for reasons such as retirement, family move, or caring for family members may not result from organizational or unit problems, other causes, such as poor working conditions, lack of training, lack of career opportunities, unchallenging work, better compensation elsewhere, stress, or work/life balance issues, represent conditions the unit or organization should address to retain the workforce.

1. Cause(s) for voluntary resignation and improvements that could be made to the unit or organization are identified through exit interviews, personal discussions with the departing individual, or through other appropriate means.
2. The departing individual may be offered an opportunity to talk with someone, other than the person to whom they have been responsible, about the causes for their voluntary departure.

Examples of other people that the departing individual might talk with include the following:

- A higher level manager
- A lateral manager
- A representative from the human resources function or another similar group
- An ombudsman
- A senior individual in the departing individual's unit or specialty
- An employee committee
- Someone identified by the departing individual

3. If appropriate, corrective actions are taken that would increase retention.
4. When trends in causes for voluntary resignation at the unit or organization levels can be identified, corrective action should be taken, if possible.

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of Staffing activities.**

Examples of measurements include the following:

- Time spent establishing committed work
- Percent of commitments met
- Revisions to commitments
- Number of open positions identified
- Number of qualified candidates contacted through each recruiting source
- Percent of qualified candidates contacted directly by staff rather than through other sources
- Percentage of selected candidates accepting offers
- Cost per hire
- Success of selection methods based on performance at the end of a probationary period
- Demographics of candidates and hires, including factors such as source, age, or diversity
- Time spent on recruiting, selection, and transitioning
- Time from opening a position to filling it
- Percent of unit members involved in staffing activities
- Rate of transitioning individuals into new positions
- Number of people undergoing outplacement
- Cost of outplacement
- Percent of voluntary turnover
- Cost of replacing those who voluntarily resign

Measurement 2 Unit measures of Staffing activities are collected and maintained.

1. Units collect data as Staffing activities occur.
2. Measurements made to determine the status and performance of Staffing activities are maintained.

Examples of reasons for maintaining measurements of Staffing activities include the following:

- Periodic analysis to determine unit-level trends
- Aggregating data at the organizational level to develop organizational measures
- Analysis to determine organizational trends
- Evaluation of organizational trends

Verifying Implementation

Verification 1 A responsible individual(s) verifies that Staffing activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.

These reviews verify that:

1. Staffing activities comply with the organization's policies and stated values.
2. Staffing activities comply with all relevant laws and regulations.
3. Staffing activities are performed according to the organization's documented practices and procedures.
4. Noncompliance issues are handled appropriately.

Verification 2 Executive management periodically reviews the Staffing activities, status, and results; and resolves issues.

These reviews address:

1. Progress in performing staffing activities, including:
 - ☐ filling open positions,
 - ☐ attracting selected candidates,
 - ☐ balancing workload against work commitments, and
 - ☐ performing workforce reduction and other outplacement activities.
2. Results from reviews of Staffing practices and activities.

Refer to Verification 1 for information regarding reviews of Staffing activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

3. Status of resolution of noncompliance issues.
4. Trends relevant to future staffing decisions and requirements.
5. Effectiveness of Staffing activities in achieving staffing results.

Communication and Coordination

A process area at Maturity Level 2: Managed

Purpose **The purpose of Communication and Coordination is to establish timely communication across the organization and to ensure that the workforce has the skills to share information and coordinate their activities efficiently.**

Description Communication and Coordination establishes the initial basis for developing and empowering workgroups. This process area establishes a culture for openly sharing information across organizational levels and laterally among dependent units. Increasing the flow of information provides the foundation for a participatory culture and empowered workgroups. A critical attribute of this culture is that individuals can feel confident in raising concerns to management without fear of retribution.

Prior to having the benefit of defined processes, people who work together must have the skills required to coordinate their activities and manage shared dependencies. At higher maturity levels, defining competency-based processes removes some of the burden from individuals for managing dependencies by coordinating the required interactions into defined roles and tasks. Prior to the availability of defined processes, interpersonal communication and coordination skills need to be developed to provide a foundation for the structured development of workgroups at higher levels.

Establishing effective communication begins with communicating the organization's values, policies, practices, and other significant organizational information to the workforce. In addition to this top-down information, bottom-up communication is stimulated by seeking the opinions of individuals on their working conditions. Lateral communication among units begins by focusing on communication required to accomplish committed work.

In order to reinforce the importance of open communication, the organization establishes formal procedures for raising and resolving concerns. Once raised, these concerns should be tracked to closure by management to reinforce their respect for the knowledge and experience from which these concerns emerge. Eliminating fear of reprisal or retribution establishes respect for individuals as an important component of the culture.

The interpersonal communication skills necessary to maintain effective working relationships are developed. To maintain effective workgroups, interpersonal problems are addressed quickly and meetings are managed to ensure that workgroup time is used most effectively. Individuals identify dependencies in their committed work and establish agreements for aligning their activities. Individuals monitor progress against these dependencies to ensure coordination within their workgroup.

Goals

- | | |
|---------------|--|
| Goal 1 | Information is shared across the organization. |
| Goal 2 | Individuals or groups are able to raise concerns and have them addressed by management. |
| Goal 3 | Individuals and workgroups coordinate their activities to accomplish committed work. |
| Goal 4 | Communication and Coordination practices are institutionalized to ensure they are performed as managed processes. |

Commitment to Perform

Commitment 1 **Executive management establishes and communicates a set of values for the organization regarding the development and management of its workforce.**

Examples of workforce issues that can be addressed through the organization's values include the following:

- Implicit and explicit commitments between the organization and its workforce
- Commitment to growing skills and increasing performance
- Philosophy of career development
- Treatment of individuals
- Workforce rights
- Open communication without fear of reprisal
- Emphasis on collaboration and teamwork
- Intent to align individual, workgroup, unit, and organizational performance
- Desired cultural values and attributes
- Conflict or dispute resolution
- Workplace violence
- Respecting the rights and dignity of individuals during the performance of workforce activities
- Workforce diversity issues
- Sensitivity to and respect for diverse cultures within the workforce
- Emphasis on quality of work life (QWL) and work-life balance
- Commitment to continuous improvement of people-related activities
- Social accountability, addressing child and forced labor, health and safety, collective bargaining, discrimination, disciplinary practices, working hours, and compensation [CEPAA 97]
- Other values, as appropriate

Executive management:

1. Documents a set of values to guide people-related behavior in the organization.
2. Publicly endorses the documented values of the organization.
3. Ensures that the values are communicated to all members of the workforce.

Examples of methods for communicating the values of the organization include the following:

- Public display of the organization's values statement
- Open discussion of values-related issues through appropriate communications channels
- Inclusion of values in orientation training, management training, and other appropriate training
- Explicitly using and applying the values when performing people-related activities
- Referring to guiding values in explaining decisions
- Other methods, as appropriate

4. Derives policies and procedures for workforce activities from these values.
5. Establishes mechanisms to ensure that all workforce activities comply with the organization's values.
6. Enforces corrective action when workforce activities do not comply with the values of the organization.
7. Ensures that executive decisions and actions demonstrate consistent support for the organization's values.

Commitment 2

The organization establishes and maintains a documented policy for conducting its Communication and Coordination activities.

Issues typically addressed in the policy include:

1. Relationship of the Communication and Coordination activities to the business objectives, plans, and documented values of the organization.

2. Importance of maintaining an open environment that supports communication flow in all directions.
3. Requirements for periodic communication of organization-wide information to all individuals and workgroups.
4. Requirements for developing communication skills in all individuals and workgroups.
5. Opportunities for raising and resolving concerns.
6. Importance of establishing and meeting commitments involving work dependencies.
7. Importance of ensuring that individuals understand the impact of their communication or interactions and its potential to create a hostile work environment.

In particular, individuals should be familiarized with the types of communication or interactions that could create a hostile work environment for other members of the workforce, especially those related to issues such as harassment, discrimination, equal opportunity, workplace violence, or similar concerns.

8. Communication and Coordination activities comply with relevant laws, regulations, and organizational policies.

Commitment 3 An organizational role(s) is assigned responsibility for assisting and advising units on Communication and Coordination activities and procedures.

Examples of individuals or groups who might assist and advise on Communication and Coordination activities include the following:

- Human resources or other appropriate professionals
- Employee communications staff
- Training staff
- Organizational development staff
- Technical writing staff
- Public relations staff
- Other communications staff

Ability to Perform

- Ability 1** **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Communication and Coordination activities are performed.**
- Ability 2** **Adequate resources are provided for performing Communication and Coordination activities.**
1. Experienced individuals with communication or coordination expertise are made available for Communication and Coordination activities.
 2. Resources for supporting Communication and Coordination activities are made available.
 3. Support for implementing improvements in communication or coordination is made available.
 4. Adequate funding to accomplish Communication and Coordination activities is made available.
- Ability 3** **Individuals responsible for facilitating or improving Communication and Coordination activities receive the preparation needed to perform their responsibilities.**

Examples of training related to facilitating or improving communication or coordination include the following:

- Relevant communication or coordination methods
- Facilitating and developing communication skills in others
- Development of interpersonal communication skills
- Dispute arbitration or resolution techniques
- Planning and coordination methods
- Meeting facilitation
- Addressing concerns, grievances or issues
- Planning and executing an organizational communication strategy
- How to use different communication media effectively

Practices Performed

Practice 1

The workforce-related policies and practices of the organization are communicated to the workforce.

1. Individuals and units are informed of policies and practices that affect them.

Examples of people-related policies and practices that should be communicated include the following:

- Hiring policies
- Training and development policies
- Compensation strategies
- Career growth policies
- Promotion and transfer procedures
- Retraining practices
- Procedures for raising a concern
- Performance management practices

2. Whenever people-related policies and practices are changed, the changes are communicated to the workforce.
3. The organization periodically determines whether the workforce is aware of its people-related policies and practices.
4. When misunderstandings of the people-related policies and practices exist, corrective action is taken.

Practice 2

Information about organizational values, events, and conditions is communicated to the workforce on a periodic and event-driven basis.

Examples of information that is to be communicated to the workforce include the following:

- Organizational mission, vision, and strategic objectives
- Business ethics
- The organization's values
- Business plans and objectives
- Financial results and conditions
- Business performance
- Quality, productivity, cost, or time-to-market results
- Changes in organizational structure or processes
- Notable events

Examples of communication mechanisms include the following:

- Organization-wide meetings
- Staff meetings
- One-on-one meetings
- Bulletin boards
- Electronic mail announcements
- Internal publications
- Newsletters
- Memos

Practice 3**Information required for performing committed work is shared across affected units in a timely manner.**

1. Responsible individuals in each unit:
 - ☐ identify the dependencies their committed work has created with other units,
 - ☐ agree with responsible individuals in affected units how they will share information,
 - ☐ ensure that information needed to perform committed work is shared among affected units in a timely manner,
 - ☐ ensure that affected members of their unit are receiving the information they need from sources outside the unit,
 - ☐ ensure that affected members of their unit are timely in providing needed information to those in other units, and
 - ☐ take corrective action when communication breakdowns occur.
2. When necessary, those to whom dependent units report assist in establishing the communication needed to perform committed work.

Practice 4**Individuals' opinions on their working conditions are sought on a periodic and event-driven basis.**

1. Input is collected on a periodic basis.

Examples of mechanisms for gathering opinions from individuals include the following:

- Opinion surveys or organizational climate questionnaires
- Assessments
- Interviews with a sample of the workforce
- Discussions with management, including meetings that allow individuals to skip levels of management or to meet with management representatives, such as an ombudsman
- Group meetings on concerns
- Focus groups or advisory boards, comprised of individuals
- Postmortem project reviews
- Suggestion boxes or other private means
- Email or other electronic means
- Other solicitations for input

2. The receipt of opinions from members of the workforce is acknowledged.
3. Inputs are analyzed and results are prepared according to the topics being studied.
4. Where appropriate, the results of these analyses, decisions based on them, and actions taken are communicated to the workforce.
5. To ensure confidentiality, results are presented so that individuals or groups cannot be identified as the source of information unless they have given their permission to be identified.

Practice 5**Individuals or groups can raise concerns according to a documented procedure.**

A *concern* is an issue, state of affairs, condition, or grievance that an individual or workgroup wants the organization to address and resolve.

1. The procedure typically specifies:
 - ☐ how a concern may be raised;
 - ☐ requirements for tracking and resolving concerns that have been raised;
 - ☐ how responses should be provided regarding a concern;
 - ☐ how to conduct and record a meeting, if needed, to discuss possible resolutions of a concern;
 - ☐ follow-on activities after problem-solving meetings; and
 - ☐ how to raise a concern directly with higher management if it cannot be resolved at a lower level.
2. Individuals or groups may raise a concern to any level of management without fear of reprisal.

Examples of mechanisms for raising a concern may include the following:

- Submission of written concerns to an appropriate individual
- Meetings with an appropriate individual or manager
- Meetings with an identified neutral party or ombudsman
- Formal grievance procedures

3. The resolution of a concern can be appealed to higher management levels.

Practice 6**Activities related to the resolution of a concern are tracked to closure.**

1. Responsibilities are assigned for tracking the status of concerns.
2. The status of all open concerns is periodically reviewed by management.
3. When appropriate progress has not been made in resolving a concern, corrective action is taken.

Practice 7

The interpersonal communication skills necessary to establish and maintain effective working relationships within and across workgroups are developed.

Examples of interpersonal skills that support working relationships include the following:

- Interpersonal communication and dynamics
- Active listening skills
- Group communication and dynamics
- Interaction protocols for specific situations
- Problem resolution skills
- Conflict resolution skills
- Negotiation skills
- Multicultural sensitivity and other diversity-related skills.

1. Needs for developing interpersonal skills are identified

Examples of mechanisms through which the need for developing interpersonal skills can be identified include the following:

- Self- or workgroup evaluation
- Observation by manager, workgroup leader, or other responsible individual
- Discussions of performance
- Analysis indicating that an interpersonal skill, such as negotiation, is a critical component for accomplishing an individual's or workgroup's committed work

2. Methods for developing or improving interpersonal skills are identified and performed.

Examples of methods for developing or improving interpersonal skills include the following:

- Training or orientation
- Mentoring or coaching
- Facilitated group discussion or workshop

3. When appropriate, individuals are sensitized to cultural issues that would influence interpersonal or workgroup communication styles.

Practice 8

Interpersonal problems or conflicts that degrade the quality or effectiveness of working relationships are handled appropriately.

Examples of appropriate ways to handle interpersonal problems include the following:

- Improving interpersonal communication skills
- Advising or counseling one or more individuals
- Improving the dynamics of a group
- Using an ombudsman, arbitrator, or facilitator
- Reassigning one or more individuals
- Conducting performance management actions
- Taking disciplinary action

Practice 9

Individuals and workgroups coordinate their activities to accomplish committed work.

Refer to Practice 3 of the Staffing process area for information regarding making commitments for work that individuals or workgroups will be accountable for performing.

1. Individuals and workgroups participate in making decisions about how to organize and perform their work.

2. Individuals and workgroups organize and perform their work to satisfy their commitments and dependencies.

Refer to the Performance Management process area for information regarding establishing objectives related to committed work against which unit and individual performance can be measured, discussions of performance against these objectives, and enhancements to achieved performance.

Practice 10**Individuals and workgroups monitor and coordinate the dependencies involved in their committed work.**

Some work in a unit can be performed independently by individuals because it does not involve dependencies on the work of others in order to satisfy commitments. However, where the work is interdependent, individuals and workgroups should ensure they mutually agree to their commitments in order to coordinate their activities.

1. Committed work at the unit, workgroup, and individual levels is analyzed to identify dependencies.
2. Individuals and workgroups agree on the dependencies created by their committed work.
3. Mutually agreeable mechanisms for coordinating dependent work are established.
4. Agreements for coordinating dependent work are documented.

Work dependencies may take many different forms. Dependencies in work may range from highly repetitive, routine activities to dependencies involving occasional results from large, non-routine undertakings. The means for documenting dependencies can vary widely and should be matched to the characteristics of the dependency.

Examples of appropriate forms of documenting agreements concerning dependencies include the following:

- Plans and schedules
- Defined processes or procedures
- Defined roles
- Job or position descriptions
- Memoranda of understanding
- Contracts
- Defined performance objectives based on committed work

5. Individuals or workgroups communicate in advance when dependencies cannot be met.
6. When necessary, dependencies are revised through mutual agreement among affected parties.

Practice 11**Meetings are conducted to make the most effective use of participants' time.**

1. Guidelines are developed for maximizing meeting efficiency based on the organization's culture and values, business processes, and the purpose of the meeting.

Examples of topics addressed by meeting guidelines include the following:

- Meeting purpose
- Meeting planning
- Meeting agenda and time management
- Responsibilities and roles of participants
- Attendance size and requirements
- Meeting procedures
- Location and room set-up
- Participation mechanisms
- Practices for tracking action items or issues

2. Meetings are called only if they offer an adequate benefit for the time consumed; otherwise, a more efficient way to accomplish the goal is pursued.
3. To the extent possible, a meeting's purpose, objectives, and procedures are planned, and an agenda is distributed in advance.
4. Meetings are conducted to maintain focus on accomplishing their original purpose.
5. Meetings are conducted to encourage the participation of all who are able to make a contribution.
6. Actions to be performed following the meeting are assigned and tracked to completion.

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of Communication and Coordination activities.**

Examples of measurements include the following:

- Use of communication media
- Number of people trained in communication skills
- Number of people trained in meeting management and facilitation skills
- Results from opinion surveys
- Number of interpersonal conflicts handled through formal mechanisms
- Number of concerns raised
- Number of meetings requested for expressing concerns
- Time and effort expended to resolve concerns, grievances, or issues
- Number of dependencies documented
- Percent of commitments completed on time
- Time spent in meetings
- Meeting measures, such as percent of meetings starting and ending on time, and percent of meetings with agendas and with agendas distributed in advance
- Rate at which meeting action items are closed

Measurement 2 Unit measures of Communication and Coordination activities are collected and maintained.

1. Units collect data as Communication and Coordination activities occur.
2. Measurements made to determine the status and performance of Communication and Coordination activities are maintained.

Examples of reasons for maintaining measurements of Communication and Coordination activities include the following:

- Periodic analysis to determine unit-level trends
- Aggregating data at the organizational level to develop organizational measures
- Analysis to determine organizational trends
- Evaluation of organizational trends

Verifying Implementation

Verification 1 **A responsible individual(s) verifies that the Communication and Coordination activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.**

These reviews verify that:

1. Communication and Coordination activities comply with the organization's policies and stated values.
2. Communication and Coordination activities comply with all relevant laws and regulations.
3. Communication and Coordination activities are performed according to the organization's documented practices and procedures.
4. Noncompliance issues are handled appropriately.

Verification 2 **Executive management periodically reviews the Communication and Coordination activities, status, and results; and resolves issues.**

These reviews verify:

1. Progress in the performance of any planned communication activities.
2. Results from reviews of Communication and Coordination practices and activities.

Refer to Verification 1 for information regarding reviews of Communication and Coordination activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

3. Status of resolution of noncompliance issues.
4. Trends related to communication and coordination, including:

- ☐ trends related to communication issues,
 - ☐ rate at which serious communication problems occur and are being reduced, and
 - ☐ trends related to concerns raised, including the number of concerns raised and the rate of resolving them.
5. Resolutions of concerns comply with the organization's documented policies and procedures.
 6. Effectiveness of Communication and Coordination activities in achieving effective communication and coordination.

Work Environment

A process area at Maturity Level 2: Managed

Purpose	The purpose of Work Environment is to establish and maintain physical working conditions and to provide resources that allow individuals and workgroups to perform their tasks efficiently and without unnecessary distractions.
Description	<p>The work environment must be managed to ensure it supports the committed work of those in the organization. This process area focuses on both the resources provided for performing work, and the physical conditions under which the work is performed. Management must balance expenditures on resources and environment with justifications based on the work being performed. This process area reinforces management's responsibility to monitor resource needs and environmental conditions that affect the workforce's ability to perform work efficiently. Management should have plans for mitigating those problems judged to present serious risks to health, safety, of efficiency. Continual interruptions are one of the greatest impediments to efficiency in knowledge-intense environments. While distractions cannot be eliminated, attempts should be made to minimize them.</p> <p>Establishing an effective work environment begins with identifying the physical environment and resources needed to perform committed work. An appropriate physical environment and personal workspace are provided for individuals and workgroups to perform their assigned responsibilities. Resources needed to perform committed work are made available in a timely manner. Improvements to the effectiveness of the work environment are identified and prioritized. Within reasonable boundaries, high priority improvements are implemented. Environmental conditions that would degrade or endanger the health or safety of the workforce are eliminated. Physical factors that would degrade work efficiency are addressed. Distractions in the work environment are identified and minimized.</p>

Goals

- Goal 1** **The physical environment and resources needed by the workforce to perform their assignments are made available.**
- Goal 2** **Distractions in the work environment are minimized.**
- Goal 3** **Work Environment practices are institutionalized to ensure they are performed as managed processes.**

Commitment to Perform

- Commitment 1** **The organization establishes and maintains a documented policy for conducting its Work Environment activities.**

Issues typically addressed in the policy include:

1. The organization's work environment is developed to support the business objectives and stated values of the organization.
2. Laws, regulations, and organizational policies governing the work environment are communicated to the workforce, administered, and enforced.

Guidance should be sought from human resources, legal, or other appropriate professionals in interpreting and administering these laws and regulations since they can have serious legal implications.

Examples of laws and regulations include the following:

- Safety-related laws and regulations, including those of safety-related regulatory agencies such as the Occupational Safety and Health Administration (OSHA)
- Local building and fire codes
- Laws and regulations providing access for the physically challenged, such as the Americans with Disabilities Act (ADA)
- Other applicable national, state, or local laws and regulations

3. Adequate space is provided for performing assigned work.
4. Within prudent limits, the resources needed to perform assigned work are identified, prioritized, and made available.
5. Conditions that degrade the work environment are eliminated.
6. Distractions in the work environment are minimized.
7. Work Environment practices and activities comply with relevant laws, regulations, and organizational policies.

Commitment 2

An organizational role(s) is assigned responsibility for assisting and advising units on work environment-related activities, and for assuming appropriate organizational responsibilities for the physical work environment and work resources.

Examples of individuals or groups who may assist and advise on work environment-related activities, and assume appropriate organizational responsibilities, include the following:

- Committees on work environment conditions
- Management or staff committees
- Physical plant or facilities staff
- Telecommunications staff
- Computing facilities staff
- Financial staff
- Members of the human resources function or other appropriate professionals

Ability to Perform

- Ability 1** **Within each unit, an individual (s) is assigned responsibility and authority for ensuring that Work Environment activities are performed.**
- Ability 2** **Within prudent limits, adequate resources are provided for performing Work Environment activities, implementing the physical environment and resources necessary to perform assigned work, and making improvements to the work environment.**

Prudent limits are those that are determined by management and are based on considerations that might include the following:

- Responsible fiscal policies
- Sound management of the organization's resources
- Investment priorities
- Resources that would be expected to be available in a professional environment
- Resources that are available in competitors' environments
- Benchmarks of similar work environments

1. Documented business plans, budgets, or similar guidance are available that indicate the work to be assigned to each unit and the budget available for providing a physical work environment and other work-related resources.

2. Experienced individuals who have expertise in various aspects of the work environment are available for implementing an effective work environment.

Examples of contributions that could be made by those with special skills include the following:

- Designing and implementing effective work environments
- Analyzing needed resources for performing assigned work
- Analyzing impediments in the work environment
- Analyzing the potential benefits from automation
- Identifying resources that would improve performance
- Training in laws, regulations, and organizational policies governing the work environment

3. Adequate budget and resources are made available for implementing the physical environment and work resources that are needed for performing assigned work.
4. Funding to accomplish Work Environment activities is made available.
5. Adequate funding is made available for resources that would improve the work environment.
6. Support for implementing work environment improvements is made available.

Ability 3

The workforce receives the preparation needed to maintain an effective work environment.

Examples of work environment issues to be covered with the workforce include the following:

- Laws, regulations, and organizational policies governing the work environment
- Procedures for handling violations of laws, regulations, and organizational policies; and the responsible individual(s) to which such issues should be reported
- Procedures for reporting problems, acquiring or disposing of equipment, altering a workspace, or similar work environment issues
- Health and safety procedures
- How to use new equipment or workstations

Ability 4

Those responsible for improving the work environment receive the preparation in relevant methods and procedures needed to perform their responsibilities.

Examples of training in methods to improve the work environment include the following:

- Detailed information regarding laws, regulations, and organizational policies governing the work environment and how they are to be interpreted
- Remedies and procedures for handling violations of laws, regulations, organizational policies, and procedures related to the work environment
- Methods for assessing the work environment
- Methods for minimizing or eliminating impediments or distractions in the work environment
- Methods for aiding task performance with technology

Practices Performed

Practice 1

The physical environment and resources required to perform committed work are identified in each unit.

Analysis of the physical environment and work resources can be conducted at the organizational level in conjunction with analysis at the unit level. While many of the resources covered in these practices may be provided at the organizational level, the unit must be involved in comparing space and resources to committed and planned work to ensure that space and resources are adequate for performing the assigned work.

1. Work is analyzed to determine the type of physical environment and resources required to perform it.

Examples of the resources to be considered include the following:

- Individual workspace
- Group workspace
- Meeting space
- Support or production areas
- Telecommuting support
- Support for remote locations
- Storage
- Special characteristics of physical workspaces
- Furniture
- Production equipment
- Communication equipment
- Work materials
- Computers
- Supplies

2. The physical environment and resources needed to perform assigned work are compared to those currently available within the unit to determine unit needs.
3. A responsible individual(s) takes appropriate action to acquire workspace or resources needed to perform assigned work.

Examples of appropriate actions may include the following:

- Preparing budget requests for the needed physical environment or other resources
- Developing cost-benefit justifications for acquiring needed physical environment or other resources
- Coordinating actions needed to implement improvements, including documenting needed improvements, consulting with appropriate subject matter experts, and submitting purchase orders or requests for bids on improvements
- Negotiating with those responsible for managing building or computing facilities, distributing equipment or supplies, or other work environment-related resources

4. If the physical environment or other resources needed cannot be obtained, a responsible individual(s) develops a contingency plan that articulates performance risks and coordinates its implementation with all affected parties.

Practice 2

The physical environment required to perform assigned work is provided.

1. Adequate space is provided for performing assigned work.

Examples of space that could be important for performing assigned work include the following:

- Individual workspaces
- Spaces for group work
- Public spaces, such as conference rooms and meeting spaces
- Specialized workspaces, such as laboratories and training areas
- Support areas for production or storage

2. To the extent possible, the physical environment is designed and organized to support efficient performance of assigned work.
3. To the extent possible, culturally important issues are considered when organizing the physical environment.
4. Characteristics of the physical environment that are important for work performance are adjusted and, if necessary, monitored.

Examples of characteristics of the physical environment that could be important for work performance include the following:

- Security
- Visibility
- Noise
- Voice communication
- Airborne particulates

5. When aspects of an adequate physical environment cannot be provided, a contingency action is implemented.

Practice 3

Individual workspaces provide an adequate personal environment for performing assigned work responsibilities.

Individual workspaces provide:

1. Protected private space where personal effects, work tools, and products can be secured and stored as necessary.
2. Adequate desktop space for using tools and other resources in performing tasks and storing the work products produced.
3. Adequate illumination for performing work.
4. Sufficient isolation and noise protection to support the level of concentration needed to perform individual work.
5. Sufficient space to perform work activities alone or with a limited number of colleagues, as appropriate.

Practice 4

The resources needed to accomplish committed work are made available in a timely manner.

1. Adequate physical and technical resources are provided for performing committed work.

Examples of physical and technical resources include the following:

- Office furniture and equipment
- Lighting
- Computers, workstations, or other computing equipment
- Application software (e.g., editors, word processing and document production tools, spreadsheets, and project management tools)
- Communications technologies, such as telephones, fax machines, modems, and electronic mail facilities
- Communications and office equipment for remote locations or telecommuting
- Printing and reproduction equipment
- Documentation
- Lab equipment
- Maintenance on resources
- Training equipment

2. Specialized resources that would normally be available for performing a specific type of work in most organizations are made available.

For example, in a software development organization, basic computational technology resources could include the following:

- Computers, workstations, or other computing equipment
- Networks
- Software development tools and environments
- Project management tools
- Electronic communications

3. Adequate staff support is provided.

Examples of staff support resources include the following:

- Business and administrative support
- Computer support personnel
- Technical writing and documentation support
- Lab technicians
- Clerical support

4. Resource and staff support needs are planned and provided on a periodic (e.g., annual) and event-driven (e.g., project initiation) basis.
5. When resources cannot be provided on a timely basis or at all, contingency actions are implemented.

Practice 5

Improvements are made to the work environment that improve work performance.

1. The work environment is periodically analyzed to identify changes or resources that could improve work performance.

This analysis could be a component of the analyses performed in Practice 1.

2. Potential improvements to the work environment are prioritized.

Complying with laws and regulations regarding access for the disabled or physically challenged, such as the Americans with Disabilities Act, may cause a higher priority to be placed on some improvements. Guidance should be sought from the human resources, facilities, legal, or other appropriate professionals in complying with such laws and regulations.

3. Within prudent limits, such as available budget, resources for high priority improvements are made available.
4. When implementing large, pervasive improvements across the workplace, improvements are planned and deployed.

5. When needed, support for or training in the use of newly deployed resources is made available.

Practice 6**Environmental factors that degrade or endanger the health or safety of the workforce are identified and corrected.**

1. Responsible individuals maintain awareness of conditions in the work environment that might affect the health or safety of individuals who might be exposed to them.

Examples of individuals who might exercise responsibility for maintaining awareness of work environment conditions include:

- Individuals responsible for buildings, facilities, and other physical resources
- Security staff
- Managers, supervisors, team leaders, and others with supervisory or leadership responsibility
- Individuals designated to monitor specific environmental conditions
- Individuals who conduct periodic inspections of the work environment

2. Responsible individuals report work environment conditions that would degrade or endanger health or safety to individuals who can address them.

Examples of environmental factors that degrade or endanger the health or safety of the workforce include the following:

- Unsafe working conditions
- Inadequate security
- Improper ergonomics
- Exposure to unhealthy substances
- Poor air or water quality
- Excessive stress

3. Responsible individuals identify and implement reasonable accommodations to protect the health or safety of the workforce while corrections are being made.

4. Responsible individuals monitor progress in correcting health or safety-related conditions to ensure they are corrected in a timely manner.

Practice 7**Physical factors that degrade the effectiveness of the work environment are identified and addressed.**

1. Responsible individuals maintain awareness of the physical factors in the work environment that could degrade the performance of those exposed to these factors.

Examples of physical factors that could degrade the effectiveness of the work environment include the following:

- Inadequate office or meeting space
- Poor lighting
- Inadequate heating, ventilation, or cooling
- Unpleasant odors
- Vibration
- Excessive noise
- Crowding

2. Responsible individuals identify and take action to mitigate the effects of physical factors that could degrade the performance of individuals exposed to them.

Examples of actions that could be taken to mitigate the effects of physical factors in the work environment include the following:

- Correct the problem
- Provide resources that reduce the impact of the problem (e.g., fans or heaters for addressing inadequate temperature control)
- Communicate future intentions that would alleviate the problem (e.g., such as acquiring additional office space to reduce crowding)
- Make accommodations on an individual basis that allow individuals to make reasonable adjustments that reduce the impact of problems on their personal work

3. Responsible individuals monitor the performance of affected individuals to determine if additional actions need to be taken to mitigate the impact of physical factors.
4. If it is determined that it is not possible to effectively eliminate the impact of a physical factor, alternative mitigation strategies and solutions are pursued.

Practice 8

Sources of frequent interruption or distraction that degrade the effectiveness of the work environment are identified and minimized.

Examples of interruptions or distractions include the following:

- Telephone calls
- Excessive meetings
- Poorly organized work processes
- Unnecessary or excessive administrative tasks
- Work that could be performed by other, more appropriate, individuals
- Excessive socializing

Measurement and Analysis

Measurement 1

Measurements are made and used to determine the status and performance of Work Environment activities.

Examples of measurements include the following:

- Average area of individual workspaces in the work environment
- Average area of desktop surfaces in individual or group workspaces
- Utilization of shared public spaces, such as conference rooms
- Number of complaints or concerns raised about the work environment
- Number of violations of work environment laws or regulations
- Effectiveness of improvements on performance
- Percent of work affected by time distractions
- Percent of time spent in meetings
- Rate at which physical distractions are corrected
- Investment in work environment improvements

Measurement 2 Unit measures of Work Environment activities are collected and maintained.

1. Units collect data as Work Environment activities occur.
2. Measurements made to determine the status and performance of Work Environment activities are maintained.

Examples of reasons for maintaining measurements of Work Environment activities include the following:

- Periodic analysis to determine unit-level trends
- Aggregating data at the organizational level to develop organizational measures
- Analysis to determine organizational trends
- Evaluation of organizational trends

Verifying Implementation

Verification 1

A responsible individual(s) verifies that Work Environment activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.

These reviews verify that:

1. Work Environment activities comply with the organization's policies and stated values.
2. Work Environment activities comply with relevant laws and regulations.
3. Conditions in the work environment satisfy all applicable laws, regulations, and organizational policies
4. Improvements in the work environment are deployed in a timely and effective fashion.
5. Severe, especially physical, distractions are handled in a timely manner.
6. Noncompliance issues are handled appropriately.
7. Violations of laws and regulations are handled in a manner consistent with legal requirements.

Verification 2

Executive management periodically reviews the Work Environment activities, status, and results, including improvements to the work environment; and resolves issues.

These reviews verify:

1. Results from reviews of work environment.
2. Status of any violations of applicable laws and regulations.
3. The amount and effectiveness of improvements made in the work environment.

4. Progress in performing Work Environment activities, including installing improvements in the work environment.
5. Results from reviews of Work Environment practices and activities.

Refer to Verification 1 for information regarding reviews of Work Environment activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

6. Status of resolution of noncompliance issues.
7. Trends related to work environment-related issues.
8. Effectiveness of Work Environment activities in achieving work environment results.

Performance Management

A process area at Maturity Level 2: Managed

Purpose	The purpose of Performance Management is to establish objectives related to committed work against which unit and individual performance can be measured, to discuss performance against these objectives, and to continuously enhance performance.
Description	<p>The primary focus of performance management is on continual discussion of work performance to identify ways to improve it. Continual discussion of performance focuses not only on the individual, but also on work processes, resources, and any other issues that can be addressed to improve performance. The discussion of performance occurs in the context of measurable objectives that individuals are trying to achieve in their work. The role of performance appraisal in this orientation is primarily to record the results of performance for use as input to decisions about adjustments to compensation, personal development planning, staffing, promotion, and other workforce activities.</p> <p>The process of managing performance is initiated by collaboratively defining measurable objectives for unit performance that are based on the unit's committed work. These unit objectives establish the framework in which individual performance objectives can be defined. Measurable performance objectives are defined for each individual based on their committed work, and are revised as needed. Performance objectives at the unit and individual levels are periodically reviewed to determine their continued relevance, and, if needed, they are revised.</p> <p>Those responsible for performance feedback have ongoing discussions about the performance of committed work with those they are assigned to review. Continuous discussion of the performance of committed work involves mutual investigation of ways to enhance performance. Those responsible for providing performance feedback maintain an awareness of the performance of individuals and workgroups against their committed work. Accomplishments against performance objectives are periodically documented and discussed.</p>

When they arise, performance problems are discussed and documented. If performance continues to be unsatisfactory, a performance improvement plan is developed and tracked. Employment actions may be taken based on results accomplished against the improvement plan.

Outstanding performance is recognized or rewarded. Reward includes special recognition outside of the compensation system for accomplishments of significant value to the organization. A recognition and reward strategy is developed and communicated to the workforce. As rewards are made, public recognition is provided to reinforce those skills or behaviors that the organization values.

Goals

- | | |
|---------------|--|
| Goal 1 | Unit and individual performance objectives related to committed work are documented. |
| Goal 2 | The performance of committed work is regularly discussed to identify actions that can improve it. |
| Goal 3 | Performance problems are managed. |
| Goal 4 | Outstanding performance is recognized or rewarded. |
| Goal 5 | Performance Management practices are institutionalized to ensure they are performed as managed processes. |

Commitment to Perform

Commitment 1 The organization establishes and maintains a documented policy for conducting its Performance Management activities.

Issues typically addressed in the policy include:

1. Performance Management activities serve business objectives and the stated values of the organization.
2. Performance is to be measured against defined objectives related to committed work.
3. The rights and dignity of each individual are respected during the conduct of all Performance Management activities.
4. Performance management information and data are confidential to the individual(s) they concern.
5. Appropriate performance management procedures are defined, documented, and used.

The human resources function or other appropriate professionals should review all such procedures to ensure they

- Are consistent with relevant laws, regulations, and organizational policies
- Respect the rights and dignity of individuals and groups

Performance management procedures are established and maintained for:

- ☐ identifying those responsible for providing performance feedback,
- ☐ developing measurable performance objectives related to committed work,
- ☐ periodically discussing the performance of committed work and possible improvements,
- ☐ documenting and discussing accomplishments against performance objectives at least once during the period covered by the objectives,
- ☐ resolving disagreements about performance feedback,

- ☐ documenting development needs,
- ☐ handling performance problems,
- ☐ rewarding outstanding performance, and
- ☐ ensuring appropriate distribution, use, and retention of performance documentation, including granting access to, and ensuring confidentiality, of these performance data.

Examples of procedural guidance on performance documentation include the following:

- What information should be documented
- How documentation may be used
- How and to whom documentation should be distributed
- Where documentation should be stored
- How long documentation should be retained
- Who has access to the documentation
- How documents may be inspected and challenged
- How documentation is to be kept secure

6. Outstanding performance is recognized and rewarded, when appropriate.

Recognition is accomplished through special acknowledgments made to an individual or group for accomplishments of value to the organization. *Rewards* are provided through special recognition outside of the compensation system for accomplishments of significant value to the organization. Rewards usually consist of variable amounts of money or other considerations provided to individuals or groups at appropriate times without any prior agreement as to conditions of receipt. Rewards are distinguished from recognition in that rewards typically involve financial considerations.

Recognition and rewards can be made on a periodic (e.g., annual performance awards) or occasional (e.g., project completion) basis. Recognition and rewards are made to reinforce the skills and behaviors that the organization values.

7. Appropriate recognition and reward procedures and guidelines are defined, documented, and used.

The human resources function or other appropriate professionals should review all such procedures or guidelines to ensure they

- Are consistent with relevant laws, regulations, and organizational policies
- Respect the rights and dignity of individuals and groups

Recognition and reward procedures or guidelines are established and maintained for:

- ☐ identifying those responsible for recognition and reward activities,
- ☐ defining the purposes of recognition and rewards,
- ☐ defining the basis for awarding special recognition or making rewards,
- ☐ communicating the structure of the recognition and reward system to the workforce,
- ☐ recommending an individual or group for recognition or reward,
- ☐ determining appropriate recognition and rewards,
- ☐ providing recognition and reward information to individuals,
- ☐ establishing and maintaining equity in the recognition and rewards system, and
- ☐ publicizing recognition and rewards.

8. Performance Management practices and activities comply with relevant laws, regulations, and organizational policies.

Commitment 2 An organizational role(s) is assigned responsibility for assisting and advising units on Performance Management activities.

Examples of individuals who may assist or advise units on Performance Management activities include the following:

- Human resources or other appropriate professionals
- Resource manager
- Productivity or quality staff
- Legal staff
- Those with expertise in performance improvement techniques

Ability to Perform

Ability 1

Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Performance Management activities are performed.

Examples of individuals who may be assigned responsibility for various Performance Management activities include the following:

- The unit manager or assistant
- A resource manager
- A performance committee
- A project or workgroup leader
- An empowered workgroup
- A committee of peers
- An individual
- A member of the human resources function or other appropriate professionals

Ability 2

Adequate resources are provided for performing Performance Management activities.

1. The organization's business objectives or plans are available to support setting unit performance objectives.

2. Experienced individuals who have expertise in performance management methods are made available for guidance in these activities.

Examples of expertise in performance management include the following:

- Definition of performance objectives and measurement of performance related to committed work
- Analysis of tasks and performance against committed work
- Productivity and quality improvement methods
- Methods for providing effective feedback
- Methods for handling problem people
- Reward systems
- Laws, regulations, policies, and procedures governing performance management

3. Resources for supporting Performance Management activities are made available.

Examples of resources to support Performance Management activities include the following:

- Repositories of previously defined performance objectives
- Templates with categories for recording performance information
- Templates for capturing developmental needs information
- Examples of documentation for performance problems
- Standard forms for documenting performance management activities

4. Funding to accomplish Performance Management activities is made available.
5. Adequate time is allocated for participating in Performance Management activities.

6. Experienced individuals who have expertise in recognition and reward programs are made available for guiding these activities.

Examples of contributions that could be made by those with special skills include the following:

- Designing and revising a recognition and reward program
- Determining criteria for making rewards
- Participating in recognition and reward decisions

7. Resources to support recognition and reward activities are made available.

Examples of resources to support recognition and reward activities include the following:

- Recognition and reward guidelines
- Repositories of previously defined recognition and reward criteria
- Examples of documentation for recognition and rewards
- Space for recognition announcements in bulletins and other organizational media
- Standard forms for documenting recognition and reward activities

8. Funding to accomplish recognition and reward activities is made available.

Ability 3**Individuals conducting Performance Management activities receive the preparation needed to perform their responsibilities.**

1. Individuals responsible for documenting or discussing performance receive the preparation needed to perform their responsibilities.

Examples of relevant skills in which individuals responsible for documenting or discussing performance feedback are trained include the following:

- Defining performance objectives related to committed work
- Evaluating performance against committed work
- Listening and feedback skills
- Performance appraisal methods
- Identifying development needs
- Handling problem employees
- Documenting and managing unsatisfactory performance
- Providing recognition and rewards
- Laws and regulations governing performance management

2. Those responsible for recognition and reward activities receive the preparation needed to perform their responsibilities.

Examples of preparation to perform recognition and reward activities include the following:

- Awareness of, and orientation to, the organization's recognition and reward system
- Training in the organization's recognition and reward practices
- Understanding guidelines for fairly applying recognition and reward criteria

Ability 4

Individuals who participate in Performance Management activities receive appropriate orientation in Performance Management practices.

Examples of relevant orientation topics regarding performance management include the following:

- Defining objectives related to committed work
- Analyzing task and job performance
- Conducting job performance discussions
- Developing individual capabilities
- Recognizing and rewarding outstanding performance

Practices Performed

Practice 1

Measurable performance objectives based on committed work are established for each unit.

A *work commitment* is an agreement concerning work to be accomplished. The commitment is made to the responsible individual for whom the work is being performed or to whom the result is being delivered. A *performance objective* is a measurable attribute or result of work behavior that can be used to evaluate the performance of a unit, workgroup, or individual. Examples of sources for deriving performance objectives include the following:

- An attribute or measure of the work performed to meet a commitment
- The results of the work performed to meet a commitment
- Results or benefits that accrue from meeting a commitment
- A measurable contribution to the work performance of others
- A level of development to be achieved
- Results to be achieved by others for whose performance an individual is accountable

1. The unit's performance objectives are based on the unit's committed work. These performance objectives are established and maintained on a schedule that coincides with the schedule on which work commitments are made for the unit.

Examples of measurable performance objectives based on committed work include the following:

- Work products to be produced
- Milestones to be met
- Quantitative quality targets to be achieved
- Customer/user satisfaction levels to be achieved
- Costs to be saved
- Cycle time to be reduced
- Increased integration with cooperating units
- Services to be provided
- Business to be won

2. The unit's work commitments are consistent with the business objectives and plans of the organization.

3. All appropriate members of the unit are involved in developing the unit's performance objectives based on their involvement in making work commitments.
4. The unit's performance objectives are reviewed with and approved by those to whom the unit is accountable.
5. Approved performance objectives for the unit are documented.
6. Approved performance objectives for the unit are communicated to all members of the unit and relevant stakeholders.

Practice 2

The unit's performance objectives are periodically reviewed as business conditions or work commitments change, and, if necessary, they are revised.

1. Unit performance objectives are periodically reviewed with management or other members of the organization to determine the appropriateness of these objectives to changed business conditions or work commitments.
2. When appropriate, a unit's performance objectives are revised using appropriate procedures.
3. Revisions to the unit's performance objectives are documented.

Practice 3

Those accountable for the accomplishment of unit performance objectives track and manage unit performance.

This practice involves performance issues at the unit level, rather than at the individual level. The issues to be addressed in this practice involve collective results across individuals that are more appropriately addressed as unit performance, rather than as individual performance.

The remaining practices in this process area focus on individual performance against individual performance objectives.

1. Those responsible for unit performance maintain awareness of unit accomplishments against committed work and other aspects of unit performance.

Examples of issues to maintain an awareness of include the following:

- Unit performance against documented unit performance objectives
- Accomplishment of dependencies shared with other units
- Impediments to achieving documented unit performance objectives
- Influence of changing business conditions or work commitments on reprioritizing documented unit performance objectives
- Need to revise documented unit performance objectives

2. Unit progress against performance objectives is reviewed and discussed with:

- ☐ members of the unit,
- ☐ representatives of other units with which the unit shares performance dependencies, and
- ☐ individual(s) to whom those responsible for unit performance report.

Examples of performance issues to be reviewed and discussed may include the following:

- Unit performance compared with documented objectives
- Coordination of activities and dependencies involved in performing committed work
- Changes in unit performance objectives
- Perceptions of performance by others if these perceptions are relevant to performance objectives

3. Opportunities to enhance unit performance are discussed and improvement actions are identified.

Examples of topics related to performance improvement to be discussed may include the following:

- Opportunities for improvements in processes, tools, or resources
- Knowledge and skills needing development
- Improvements in communication needed to perform committed work
- Improvements in coordination of activities

4. Unsatisfactory performance against unit performance objectives is managed.

This sub-practice is focused on problems in unit performance whose causes can be attributed to factors beyond individual performance problems. Refer to Practices 10, 11, and 12 of the Performance Management process area for information regarding managing unsatisfactory performance at the individual level.

- ☐ Impediments to achieving unit performance objectives are identified.
- ☐ Corrective actions for improving unit performance are implemented.
- ☐ Changes to unit plans or objectives are documented and communicated to all affected parties.
- ☐ Corrective actions are tracked.

Practice 4**Performance objectives based on committed work are documented for each individual on a periodic or event-driven basis.**

1. Each individual's performance objectives are drawn, in part, from the performance objectives of their unit.
 - ☐ The unit's performance objectives are allocated to individuals based on their responsibilities.
 - ☐ Individuals review these allocated objectives against their committed work before accepting responsibility for them.
 - ☐ Issues with any allocated performance objectives are raised and negotiated with the individual(s) responsible for the unit's performance.
 - ☐ When the unit's performance objectives are revised, each individual's allocated performance objectives are revised to remain consistent with the unit's new performance objectives and committed work.
2. The objectives for each individual's job performance are not in conflict with their unit's performance objectives.
3. Performance objectives for each individual are drawn from, and are consistent with, their work commitments.
4. Individuals participate in developing their performance objectives.
5. Individuals agree to and approve their performance objectives.
6. Individual performance objectives are documented.

Practice 5 **Performance objectives for each individual are reviewed on a periodic or event-driven basis, and, if necessary, they are revised.**

1. Individual performance objectives are periodically reviewed to determine their appropriateness under changing personal, workgroup, or unit conditions.
2. Performance objectives are reviewed every time personal, workgroup, or unit work commitments are revised.
3. When appropriate, the individual's performance objectives are revised using the standard procedures employed for defining their performance objectives.
4. Revisions to the individual's performance objectives are documented.

Practice 6 **Those responsible for performance management activities maintain ongoing communication about the performance of committed work with those whose performance they manage.**

Examples of methods for maintaining communication about the performance of committed work include the following:

- Informal discussions
- Informal performance feedback discussions
- Periodic meetings to review progress
- Periodic meetings to analyze how the performance of assigned responsibilities could be improved
- Periodic meetings to document and discuss accomplishments against performance objectives

1. Various components of work performance are periodically discussed and analyzed.
2. Ways to improve the performance of committed work are periodically discussed and improvement actions are taken.

Refer to Practice 6 of the Training and Development process area for information regarding development discussions with individuals.

Examples of ways to improve the performance of committed work include the following:

- Training in task-related knowledge and skills
- Apprenticing to an experienced individual or group
- Mentoring or coaching
- Improved coordination with other individuals
- Improvements in work environment conditions

Practice 7

Those responsible for managing the performance of others maintain an awareness of accomplishments against performance objectives for each of the individuals whose performance they manage.

Examples of accomplishments to maintain awareness of include the following:

- Performance against documented individual objectives
- Individual contributions to performance against documented objectives for other individuals, their workgroup, or their unit
- Impediments to achieving documented performance objectives
- The influence of changing business conditions or work commitments on reprioritizing documented performance objectives
- The need to revise documented performance objectives

Practice 8

Potential improvements in process, tools, or resources, which could enhance an individual's performance of committed work, are identified, and actions are taken to provide them.

Examples of mechanisms through which improvements that could enhance work performance are identified include the following:

- Ongoing discussion about work performance between individuals and those responsible for managing their performance
- Group discussion of work performance
- Problem solving sessions
- Recommendations by a mentor, coach, or trainer
- Process or work analysis activity
- Management or customer reviews or feedback

Practice 9

The accomplishments of individuals against their performance objectives are documented and discussed on a periodic or event-driven basis according to a documented procedure.

Accomplishments can be documented and discussed on a periodic schedule, such as annually or twice yearly, or on an event-driven basis, such as at the completion of specific committed work (e.g., end of a project). Accomplishments should be documented and discussed at least once during the period defined for a set of documented performance objectives.

Examples of methods for documenting and discussing performance results include the following:

- Performance appraisals
- Peer group evaluations
- 360° reviews
- Performance panel reviews

1. Those responsible for documenting and discussing accomplishments against performance objectives perform these tasks according to a documented procedure.

The procedure typically specifies:

- ☐ how often accomplishments are reviewed against objectives,
- ☐ how information regarding accomplishments and other aspects of performance are obtained,

- ☐ what performance information is documented,
 - ☐ whether and how performance information is reviewed before being discussed,
 - ☐ how performance results are discussed with individuals or workgroups,
 - ☐ topics that may not be appropriate during a discussion of accomplishments and objectives
 - ☐ whether training needs or career options are discussed,
 - ☐ how unsatisfactory performance is addressed,
 - ☐ how disagreements are resolved,
 - ☐ how performance management activities are performed when individuals or those responsible for managing individual's performance transition, and
 - ☐ to whom performance documentation is distributed.
2. The procedure for documenting and discussing accomplishments against performance objectives is communicated to all those affected by it.
 3. An agreement is reached about a time for documenting and discussing accomplishments against performance objectives with each individual affected by the procedure.
 4. Information about accomplishments against committed work and other aspects of performance is gathered and evaluated.
 5. When individuals are responsible for committed work in several units, those to whom their responsibilities report coordinate to ensure that:
 - ☐ information about accomplishments against committed work and other aspects of performance is gathered and evaluated, and
 - ☐ any overall evaluation of performance incorporates results covering all relevant committed work.
 6. If appropriate, performance documentation is reviewed with appropriate individuals prior to discussing it with those whose performance is being discussed.

Examples of appropriate individuals for reviewing performance documentation include the following:

- The next higher level of management
- A representative of the human resources function or other appropriate professionals
- Those who provided performance information
- Stakeholders in the performance objectives

7. Accomplishments against committed work and other aspects of performance are discussed.

Examples of topics related to performance to be discussed may include the following:

- Individual performance compared with documented objectives
- Special causes of performance variation, if applicable
- Opportunities for improvements in processes, tools, or resources
- Knowledge and skills needing development
- Development opportunities completed
- Career options
- Capability on a number of predefined dimensions as evidenced in performance against objectives, demonstrated application of critical skills, or other relevant dimensions
- Perceptions of performance by others if these perceptions are relevant to performance objectives
- Subjective or hard to measure factors such as interpersonal skills

8. If necessary, disagreements about performance results, interpretations, or other performance feedback are discussed and raised to an appropriate entity, such as a higher level of management, the human resources function, or other appropriate professionals.
9. Skills needing development and actions to develop them are discussed.

Refer to Practice 6 of the Training and Development process area for information regarding development discussions with individuals.

10. Unsatisfactory performance is discussed and preparations are made for follow-up actions.
11. Opportunities to enhance performance are discussed and actions are identified.
12. Accomplishments against performance objectives and other results of the performance discussion are documented and maintained in a form consistent with organizational guidance.
13. Performance documentation is used in performing other workforce activities according to a documented procedure.
 - ☐ Performance documentation is distributed.
 - ☐ Performance documentation results are used as input in individual workforce practices, where appropriate.

Examples of other workforce practices for which performance documentation provides input include the following:

- Compensation
- Recognition and rewards
- Identification of training and development needs
- Career opportunities
- Promotions
- Disciplinary action
- Outplacement

Practice 10

If performance problems occur, they are discussed with the appropriate individual(s).

Particularly serious problems should be brought to the attention of the human resources function or other appropriate professionals. Their guidance should be followed in handling serious problems, since actions leading to disciplinary sanctions or termination can have legal implications.

1. Performance problems are identified, based on appropriate performance objectives, policies, or other applicable guidelines.

2. A formal discussion concerning the performance problem is held with the individual(s).
3. Agreement is reached on:
 - ☐ a statement of the performance problem, and
 - ☐ actions or conditions that would resolve the performance problem, if implemented.
4. The results of discussions regarding the performance problem are documented.
5. Actions or results agreed to in the formal discussion concerning the performance problem are monitored.

Practice 11

Performance improvement plans are developed for resolving persistent performance problems according to a documented procedure.

Guidance should be sought from human resources or other appropriate professionals in developing, managing, and making decisions based on performance improvement plans.

1. Performance improvement plans address:
 - ☐ the performance problem(s) that must be corrected,
 - ☐ the actions to be taken to correct the problems,
 - ☐ the results that are expected in correcting the problem(s),
 - ☐ the frequency for reviewing results against the performance improvement plan,
 - ☐ the objectives and criteria that are used in evaluating progress against the performance improvement plan,
 - ☐ the minimal acceptable performance for improvement purposes,
 - ☐ the consequences for failure to improve performance,
 - ☐ the criteria to be used to evaluate whether a different position or career option should be considered, and
 - ☐ the maximum duration for the period covered by the performance improvement plan.

2. Performance improvement plans are documented.

The actions called out in the performance improvement plan constitute a new set of work commitments and documented performance objectives. These commitments and objectives supercede previous work commitments and performance objectives.

3. Individuals agree to their performance improvement plans.
4. The organization provides reasonable resources to assist individuals in improving performance.

Practice 12**Progress against a documented performance improvement plan is periodically evaluated, discussed, and documented.**

Guidance should be sought from the human resources function or other appropriate professionals in developing, managing, and making decisions based on comparing the accomplishments to the objectives of a performance improvement plan.

Examples of actions that could be taken as a result of evaluating performance against a performance improvement plan include the following:

- Continuation in current position
- Reassignment to another position
- Development actions
(Refer to Practices 6 and 7 of the Training and Development process area)
- Discharge
(Refer to Practice 17 of the Staffing process area)

1. Progress is reviewed periodically throughout the period covered by the performance improvement plan.
2. Progress and discussions regarding the performance improvement plan are documented throughout the period covered by the performance improvement plan.
3. If performance deviates significantly from the objectives in the performance improvement plan, corrective action is discussed.
4. At an appropriate time, the improvement program is terminated, and decisions are made and documented based on performance against the objectives of the performance improvement plan.

Practice 13**Guidelines for recognizing or rewarding outstanding performance are developed and communicated.**

Rewards are distinguished from recognition in that rewards typically involve financial considerations. Recognition or rewards can be made on a periodic (e.g., annual performance awards) or occasional (e.g., project completion) basis. Recognition or rewards are made to reinforce the skills and behaviors that the organization values.

1. The organization develops guidelines for providing recognition or rewards in an effort to achieve reasonable consistency across units. These guidelines typically specify:

- ☐ The purposes for which recognition or rewards are offered.

Examples of purposes for providing recognition or rewards include the following:

- Exceptional individual, group, or unit performance
- Process improvement
- Exceptional quality
- Exceeding objectives
- Accomplishments beyond work assignments
- Outstanding skill development
- Outstanding service to customers

- ☐ What is provided as recognition or rewards.

Examples of recognition or rewards include the following:

- Money
- Plaques, trophies, certificates, or citations
- Public recognition
- Time off
- Special perquisites (or perks)
- Special assignments
- Parties or celebrations
- Other meaningful considerations

- ☐ The criteria on which recognition or rewards are determined.

Examples of criteria for providing recognition and rewards include the following:

- Exceptional individual, workgroup, or unit performance
- Process improvement
- Project completion
- Exceptional quality
- Exceeds goals
- Accomplishments beyond work assignments
- Outstanding skill development

- ☐ That those providing recognition or rewards attempt to make decisions that are consistent with other recognition and reward activities in the organization.
- ☐ Responsibilities in recommending, approving, and administering recognition or rewards.
- ☐ How each recognition or reward is documented.

2. The guidelines for providing recognition or rewards are consistent with the organization's compensation strategy and practices.

Refer to the Compensation process area for information regarding compensation strategy and administration.

3. Guidelines for providing recognition and rewards are communicated.

Examples of information that should be communicated about these guidelines include the following:

- The different types of recognition or rewards that can be provided
- The method for recommending an individual or group for recognition or reward
- The method and criteria through which recognition or rewards are determined

Practice 14

Recognition or rewards are made on an appropriate basis as events occur that justify special attention.

1. Recognition or rewards are determined according to established guidelines.
2. Recognition or rewards are provided close in time to the performance for which they are awarded.
3. Recognition and rewards are presented to individuals or groups in a way that conveys the organization's appreciation.
4. When appropriate, recognition and rewards are made known to others in the organization in a way that highlights the behaviors or results that the organization values.

Measurement and Analysis

Measurement 1 Measurements are made and used to determine the status and performance of Performance Management activities.

Examples of measurements include the following:

- Percent of accomplished performance objectives at unit and individual levels
- Rate of change in performance objectives during the performance period at unit and individual levels
- Profile of performance across unit objectives
- Profile of performance across individual objectives
- Trends in development needs identified in discussing performance
- Percent of the workforce with performance problems
- Progress against performance improvement plans
- Time spent on performance management activities
- Number of individuals or groups whose outstanding performance was recognized
- Number and size of rewards
- Time from proposing a recognition or reward until it is received

Measurement 2 Unit measures of Performance Management activities are collected and maintained.

1. Units collect data as performance management activities occur.
2. Measurements made to determine the status and performance of performance management activities are maintained.

Examples of reasons for maintaining measurements of performance management activities include the following:

- Periodic analysis of performance data to identify trends.
- Periodic analysis of data comparing performance results to work commitments to identify trends
- Periodic analysis to determine unit-level trends
- Aggregating data at the organizational level to develop organizational measures
- Analysis to determine organizational trends
- Evaluation of organizational trends

Verifying Implementation

Verification 1 A responsible individual(s) verifies that the Performance Management activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.

These reviews verify that:

1. Performance Management activities comply with the organization's policies and stated values.
2. Performance Management activities comply with relevant laws and regulations.

3. Performance Management activities are performed according to the organization's documented practices and procedures.
4. Actions related to the development and implementation of performance improvement plans are periodically reviewed to ensure that they conform to documented policies.
5. Actions related to recognition and reward are periodically reviewed to ensure that they conform to documented policies and guidelines and to evaluate consistency across units.
6. Noncompliance issues are handled appropriately.

Verification 2

Executive management periodically reviews the Performance Management activities, status, and results; and resolves issues.

These reviews verify:

1. Appropriateness of performance objectives defined at the unit level.
2. Status of performance problems and improvement plans.
3. Progress in performing Performance Management activities.
4. Results from reviews of Performance Management practices and activities.

Refer to Verification 1 for information regarding reviews of Performance Management activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

5. Status of resolution of noncompliance issues.
6. Trends related to performance.
7. Effectiveness of the performance management activities in enhancing performance.

Training and Development

A process area at Maturity Level 2: Managed

Purpose **The purpose of Training and Development is to ensure that all individuals have the skills required to perform their assignments and are provided relevant development opportunities.**

Description The primary focus of Training and Development is on removing the gap between the current skills of each individual and the skills required to perform their assignments. Once individuals have the necessary skills to perform current assignments, they may focus their development activities on other objectives.

Each unit identifies the critical skills required for each individual to successfully perform their assigned tasks. Critical skills are those that, if not performed effectively, could jeopardize the successful performance of these assigned tasks. Training needs related to these critical skills are identified for each individual. Then, each unit develops a training plan based on the training needs identified for each individual within the unit. Training in critical skills is delivered in a timely manner and is tracked against the unit's training plan.

The primary focus of Training and Development is on removing the gap between the current skills of each individual and the skills required to perform their assignments. After these primary needs are addressed, other development objectives can be pursued. Development discussions are held regularly to ensure each individual recognizes the organization's interest in their professional development. These development discussions are held to discuss training needs, as well as potential next assignments, career options, and other development interests. Training and development opportunities are identified for each individual that support their individual development objectives.

Since resources and opportunities are limited in many circumstances, training and development activities should be prioritized for each

individual. Training in the critical skills required to perform an individual's assigned work should take precedence over training that supports their development interests. When individuals have addressed their needs for training in critical skills, their available training time and resources can be used to pursue training or other development activities that provide preparation for future assignments, career options, or other development interests. Thus, the training and development activities identified for individuals within the scope of available time and resources may not satisfy all of their development objectives.

Goals

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|---------------|--|
| Goal 1 | Individuals receive timely training that is needed to perform their assignments in accordance with the unit's training plan. |
| Goal 2 | Individuals capable of performing their assignments pursue development opportunities that support their development objectives. |
| Goal 3 | Training and Development practices are institutionalized to ensure they are performed as managed processes. |

Commitment to Perform

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| Commitment 1 | The organization establishes and maintains a documented policy for conducting its Training and Development activities. |
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Issues typically addressed in the policy include:

1. Training and development activities serve the business objectives and stated values of the organization.

2. Training requirements for critical skills required to perform assigned work are identified.
3. Training to support the performance of assigned responsibilities is timely.
4. Training and development opportunities are provided to support individual development needs.
5. Training time is allocated for each individual.
6. Training and Development practices and activities comply with relevant laws, regulations, and organizational policies.

Commitment 2

An organizational role(s) is assigned responsibility for assisting and advising units on Training and Development activities and procedures.

Examples of individuals who might assist or advise units on Training and Development activities include the following:

- Members of the training or development functions
- Instructional designers
- Members of the human resources function or other appropriate professionals
- Appropriate managers or other appropriate personnel

Ability to Perform

Ability 1

Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Training and Development activities are performed.

Examples of individuals who might be assigned responsibility for various Training and Development activities include the following:

- The unit manager or assistant
- A training coordinator or committee
- A project or group leader
- An empowered team
- A member of the human resources function or other appropriate professional

Ability 2**Adequate resources are provided for performing Training and Development activities.**

1. When feasible, experienced individuals who have expertise in training and development methods are made available for conducting Training and Development activities.

Examples of contributions that could be made by those with special skills include the following:

- Assisting in analyzing critical skills
- Providing knowledge of sources for relevant training or development opportunities
- Applying instructional design principles
- Conducting in-house training
- Evaluating mastery of learning, transfer of learned skills to the workplace, and return on investments in training

2. Resources for supporting Training and Development activities are made available.

Examples of resources for supporting Training and Development include the following:

- Templates for critical skills or training needs analysis
- Skill inventories
- Job aids
- Training roadmaps
- Lists of training or development opportunities available
- Resources for in-house training and development
- Workstations and training software
- Software and materials for developing training

3. Support for implementing Training and Development activities is made available.

Examples of implementation support include the following:

- Training materials
- Guided self-study or independent study materials
- Distance learning
- Development or procurement of training
- Delivery of training
- Training facilities and equipment
- Instructor certification (i.e., train the trainer)
- Evaluation of the quality and effectiveness of the training
- Maintenance of training records

4. When required, adequate facilities are made available for on-site training.

Example characteristics of adequate training facilities include the following:

- Freedom from distractions such as noise, unpleasant temperatures, and interruptions
- Separation from the actual work environment
- Sufficient space for student functions and exercises
- Ability to simulate actual working conditions when appropriate
- Physical resources as needed to support training, such as computers, overhead projectors, flip charts, and white boards

5. Resources are made available to support to the accomplishment of each unit's training plan.
6. Funding to accomplish training and development activities is made available.

Ability 3

Training time is made available to each individual according to the organization's training policy.

Examples of methods to determine the amount of training time to be allocated to each individual include the following:

- Standard number of days of training that each individual should receive during a chosen time period (usually per year)
- Existing level of skill
- Time needed to acquire the critical skills required by an individual's current assignment
- Time required to develop a skill
- Time required to achieve a given proficiency level in actual working conditions
- Time needed to prepare for potential future assignments

Ability 4

Individuals performing Training and Development activities receive the preparation needed to perform their responsibilities.

1. Individuals responsible for identifying training and development needs receive the preparation needed to perform their responsibilities.

Examples of relevant methods for identifying training and development needs in which individuals are prepared include the following:

- Analyzing critical skills
- Discussing potential next assignments, career options, and other development interests
- Identifying training needs
- Identifying training and development resources
- Developing and tracking unit training plans

2. Individuals who develop or provide training have the necessary training or experience required to perform their responsibilities.

Practices Performed

Practice 1

In each unit, the critical skills required for performing each individual's assigned tasks are identified.

Refer to Practice 2 of the Staffing process area for information regarding identification of the skills needed to perform work.

1. The tasks involved in performing each individual's assigned work are identified.

Work should be analyzed to identify tasks that could jeopardize the successful performance of the assignment if these tasks are not performed well according to the task-related criteria. Examples of task-related criteria include the following:

- Accuracy
- Speed
- Synchronization with other tasks

2. The critical skills needed by each individual to perform their assigned tasks are identified.

Critical skills are those that, if not performed effectively, could jeopardize the successful performance of assigned tasks. Examples of critical skills include the ability to:

- Execute specific procedures
- Perform tasks within specific time limits
- Perform tasks to defined accuracy
- Use equipment safely and effectively
- Follow instructions
- Interpret information
- Organize actions, material, or people

3. Communication skills required to perform assigned tasks are identified and included among critical skills.

Examples of communication skills include the following:

- Literacy in one or more of the languages used in the organization
- Knowledge of local jargon or technical terms
- Situational communication protocols
- Oral presentation skills
- Negotiating skills
- Writing skills
- Ability to use communication media

4. The critical skills needed by an individual are updated each time there is a significant change in their assigned tasks.

Practice 2

Training needed in critical skills is identified for each individual.

1. The knowledge and skills of each individual are evaluated against the critical skills needed to perform their assigned tasks to determine if training is needed.

Examples of methods for evaluating training needs include the following:

- Individual's personal assessment
- Individual's previous experience
- Performance feedback sessions and reviews
- Assessment centers
- Tests
- Training records

2. Prior to undertaking a new assignment, an individual's knowledge and skills are assessed against the critical skills required for the new assignment to determine if training in these skills is needed.

3. The critical skill needs of each individual in a unit are identified as the gap between the skills possessed by the individual and the critical skills needed to perform the tasks assigned to them.

If the identification of needed knowledge and skills is made independently by a responsible individual, it should always be discussed, and modified as appropriate, during formal or informal performance feedback or development discussions with each individual.

4. The types of training needed by each individual to develop the critical skills needed to perform assigned tasks are identified.
5. If the critical skills required by assigned tasks change, an individual's training needs are re-evaluated.

Practice 3

Each unit develops and maintains a plan for satisfying its training needs.

The training needs of a unit consist of the aggregated training needs of the individuals and workgroups within the unit. Each unit's training plan consists of the training activities identified for each individual or workgroup in the unit.

The unit's training plan typically specifies:

1. Training needed by each individual or workgroup to perform their assigned responsibilities.
2. Training to be provided to individuals or workgroups to support their development interests.
3. The schedule for when training is to be provided.

4. How this training is to be provided.

Examples of methods for delivering training include the following:

- Classroom instruction
- Apprenticeship or mentoring programs
- Job rotation
- On-the-job training
- Cross-training positions
- Seminars and tutorials
- Conferences and workshops
- Local college and university courses
- Computer-aided instruction
- Videotapes
- Directed self-study courses

5. How coordination with other groups that are involved with training is to be accomplished.

Examples of other groups that are involved with training may include the following:

- Process or improvement group
- Corporate training group
- External training providers
- Local colleges and universities

Practice 4

Individuals or groups receive timely training needed to perform their assigned tasks.

1. Training alternatives are evaluated to determine which provides the most effective mechanism for developing the required knowledge and skills.

Examples of training alternatives include the following:

- Classroom training
- Distance learning
- Mentoring
- Apprenticeships
- Self-paced learning courses

Training alternatives may be available from a number of sources. Examples of these sources include the following:

- The unit
- Internal training organizations
- External training providers
- Local colleges and universities

2. Training content is evaluated to ensure that it covers all the knowledge and skills needed by the individual or group to perform their assigned responsibilities.
3. Training is scheduled to provide knowledge and skills for timely application in performing assigned tasks.
4. Individuals and groups provide feedback on the quality and usefulness of the training they receive.

Practice 5

Training is tracked against the unit's training plan.

1. The unit's training activities are routinely reviewed against its training plan.
2. When training activities performed deviate significantly from the plan, corrective action is taken.
3. Completion of training activities is documented for each individual.

Practice 6**A development discussion is held periodically with each individual.**

Development needs and interests may be discussed with individuals on a continuing basis; however, at a minimum, individuals should be offered an opportunity to hold a formal development discussion at least once during each period covered by the formal recording of performance results.

Development discussions can be conducted:

- As part of ongoing performance feedback. Refer to Practice 6 of the Performance Management process area for information regarding maintaining ongoing communication about performance.
- In conjunction with or subsequent to providing formal performance feedback. Refer to Practice 9 of the Performance Management process area for information regarding formal performance feedback.

1. The knowledge and skills needed to enhance performance in current and future assignments are identified and discussed.

Information about knowledge and skills needing development can come from the following:

- Evidence from current performance
- Changing requirements of the current assignment
- Anticipated future assignments
- Individual desire to know more in an area relevant to the organization
- Recommendations from others
- Individual desire for reassignment or advancement

2. Potential future assignments, career options, and other development interests are discussed.
3. Development activities to enhance knowledge and skills, and to prepare for future assignments and career options, are identified.

4. When training time can be allotted to support preparation for future assignments, career options, and other development interests, objectives for each individual's development are established.

Individual development objectives represent a combination of development needs to enhance knowledge and skills and to prepare for future assignments and career options. Individual development objectives at the Managed Level are less formal than those objectives documented in personal development plans that will be established in the Career Development process area at the Defined Level.

Individual development objectives are organized primarily around the career interests of the individual, since the organization may not be able to offer input or guidance from well-defined career paths or competency descriptions. Input for individual development objectives can be drawn from the following:

- Needs for development of critical skills
- Changes in work or responsibilities
- Potential next assignments
- Career options
- Other development interests

Practice 7

Relevant development opportunities are made available to support individuals in accomplishing their individual development objectives.

If an individual has the critical skills required to perform their committed work, then their allocated training time may be used to pursue development objectives relative to potential future assignments or other development objectives. Consequently, the scope of relevant learning experiences may be large and choices should be matched to an individual's level of skill and experience. Appropriate development opportunities can be made available following a development discussion or on other occasions by supervisors or other responsible individuals. Examples of development opportunities include the following

- Courses
- Degree or certification programs
- Mentors or coaches
- Special temporary assignments
- Position or role assignments

1. Responsible individuals assist individuals in identifying development opportunities that would support their individual development objectives.
2. When possible, relevant opportunities are sought for assigning work or exposing individuals to experiences that support their individual development objectives.

Practice 8

Individuals pursue development activities that support their individual development objectives.

1. Time to pursue development opportunities is coordinated with committed work and other relevant schedules.
2. Development opportunities are accomplished according to identified objectives for each individual's objectives.
3. The accomplishment of development opportunities is tracked to ensure they are timely with respect to an individual's development objectives.
4. The impact and results of completed development activities are discussed to determine if adjustments to individual development objectives are needed.

5. The results of development activities are documented and used as input to performance management, staffing, promotion, compensation, and other workforce activities as appropriate.

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of Training and Development activities.**

Examples of measurements include the following:

- Amount of training provided
- Rate of training against stated training needs
- Timeliness of training
- Cost of training
- Retention of trained skills
- Improvements in learned skills
- Application of learned skills or behaviors in job performance
- Quality of training as rated in student evaluations
- Frequency of development discussions
- Number and type of development opportunities arranged

Measurement 2 **Unit measures of Training and Development activities are collected and maintained.**

1. Units collect data as Training and Development activities occur.
2. Measurements made to determine the status and performance of Training and Development activities are maintained.

Examples of reasons for maintaining measurements of Training and Development activities include the following:

- Periodic analysis to determine unit-level trends
- Aggregating data at the organizational level to develop organizational measures
- Analysis to determine organizational trends
- Evaluation of organizational trends

Verifying Implementation

Verification 1

A responsible individual(s) verifies that Training and Development activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.

These reviews verify that:

1. Training and Development activities comply with the organization's policies and stated values.
2. Training and Development activities comply with relevant laws and regulations.
3. Training and Development activities are performed according to the organization's documented practices and procedures.
4. Training and Development activities are performed according to the unit's plans and selected methods.
5. All actions related to the development and implementation of training plans are periodically reviewed to ensure they conform to documented policies.
6. Noncompliance issues are handled appropriately.

Verification 2 Executive management periodically reviews the Training and Development activities, status, and results; and resolves issues.

These reviews verify:

1. The amount and effectiveness of the training provided.
2. Progress in performing planned Training and Development activities.
3. Results from reviews of Training and Development practices and activities.

Refer to Verification 1 for information regarding reviews of Training and Development activities to ensure adherence to the following:
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- | |
|--|
| <ul style="list-style-type: none">• Relevant laws and regulations• Organizational policies, practices, and procedures |
|--|

4. Status of resolution of noncompliance issues.
5. Trends related to training and development needs.
6. Effectiveness of Training and Development activities in accomplishing planned training.

Compensation

A process area at Maturity Level 2: Managed

Purpose	The purpose of Compensation is to provide all individuals with remuneration and benefits based on their contribution and value to the organization.
Description	<p>Compensation represents the only process area at the Managed Level whose execution is coordinated by actions at the organizational level. Compensation must be coordinated primarily through centralized activity in order to establish a sense of equity in the system. Once the workforce perceives the system to be equitable, it can be adjusted to motivate the development of needed skills and better alignment of individual performance with that of the workgroup, unit, or organization. The compensation system should be designed to motivate and reward the skills and behaviors the organization considers vital to its success.</p> <p>A compensation strategy is developed that states the organization's philosophy and methods for compensating individuals. This compensation strategy is periodically reviewed against business conditions and revised when necessary. The opinions and interests of the workforce are considered in shaping the compensation strategy. The strategy covers all forms of compensation to individuals, both fixed and variable, and the criteria by which compensation is determined. A compensation plan is prepared periodically to guide the administration of the compensation strategy.</p> <p>Those responsible for making compensation decisions are provided guidance in administering and discussing the compensation strategy and decisions. Compensation decisions are based on criteria stated in the strategy and elaborated in the plan. Adjustments are made to an individual's compensation based on performance and other documented criteria such as skill development or promotion. Adjustments to compensation are communicated to affected individuals along with information about the basis for the adjustment.</p>

Compensation decisions are reviewed to ensure they are equitable. They are reviewed collectively against external benchmarks to evaluate the extent to which total compensation is equitable in relation to the market. Compensation decisions are reviewed individually relative to other internal compensation decisions to ensure that compensation is equitable across the staff in relation to skills, experience, performance, and other appropriate criteria. Corrections are made to adjust inequities.

Goals

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| Goal 1 | Compensation strategies and activities are planned, executed, and communicated. |
| Goal 2 | Compensation is equitable relative to skill, qualifications, and performance. |
| Goal 3 | Adjustments in compensation are made based on defined criteria. |
| Goal 4 | Compensation practices are institutionalized to ensure they are performed as managed processes. |

Commitment to Perform

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| Commitment 1 | The organization establishes and maintains a documented policy for conducting its Compensation activities. |
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Compensation is used to represent the concept of pay and guaranteed benefits. Pay includes any guaranteed fixed rate of salary or hourly wages provided to individuals, plus any variable amounts that are provided based on an existing agreement between the organization and the individual on how it is administered.

Issues typically addressed in the policy include:

1. Compensation activities serve business objectives and stated values of the organization.
2. The compensation strategy, practices, and activities comply with relevant laws, regulations, and organizational policies.

Examples of laws and regulations with which compensation systems must comply include the following:

- Labor-related laws and regulations, such as the Fair Labor Standards Act
- Laws and regulations that govern equal access to the workplace, limit discrimination, and identify sexual harassment, including the Equal Employment Opportunity (EEO) laws and regulations, Older Workers Benefit and Protection Act, and Equal Pay Act
- Retirement- and pension-related laws and regulations, such as Social Security and Medicare, COBRA, and the Employee Retirement Security Act
- Consumer Credit Protection Act
- Other applicable provincial, state, and local laws and regulations

3. Responsibilities for the organization's compensation strategy and plan are defined and assigned.
4. A compensation strategy is developed and periodically reevaluated.
5. Equity is established and maintained in the compensation system.
6. A compensation plan is periodically developed for administering the compensation strategy.
7. The basis for determining and adjusting compensation includes skill qualifications and performance.
8. The frequency with which compensation activities are performed is defined.
9. Responsibilities are defined for:
 - ☐ those who develop and administer the compensation strategy and plan.
 - ☐ those who make compensation decisions using the compensation strategy and plan.

10. Compensation information is confidential to the individual concerned.
11. The forms in which compensation information may be communicated, when it may be communicated, who may communicate it, and to whom it may be communicated are defined.
12. Appropriate compensation procedures are defined, documented, and used.

The human resources function or other appropriate professionals should review all such procedures to ensure they

- Are consistent with relevant laws, regulations, and organizational policies
- Respect the rights and dignity of individuals and groups

Compensation procedures are established and maintained for:

- ☐ making adjustments to compensation, and
- ☐ ensuring appropriate distribution, use, and retention of compensation documentation, including granting access to, and ensuring confidentiality of, these compensation data.

Commitment 2

An organizational role(s) is assigned responsibility for performing or coordinating Compensation practices at the organizational level and for assisting and advising units on Compensation activities.

Ability to Perform

Ability 1

Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Compensation activities are performed.

Examples of individuals who may be assigned responsibility for various Compensation activities include the following:

- The unit manager or other designated individual
- A compensation and reward committee
- A resource manager
- A project or workgroup leader
- An empowered workgroup
- A member of the human resources function or other appropriate professional

Ability 2

Adequate resources are provided for Compensation activities.

1. Experienced individuals, who have expertise in compensation methods and procedures, are made available for guiding compensation activities.

Examples of contributions that could be made by those with special skills include the following:

- Designing and revising the compensation system
- Determining criteria for adjustments to compensation
- Participating in compensation decisions

2. Resources for supporting Compensation activities are made available.

Examples of resources include the following:

- Spreadsheets and analysis tools
- Compensation surveys
- Compensation templates and guidelines

3. The available funding for the various components of compensation is determined.
4. Funding for Compensation activities is made available.

Ability 3

Individuals performing Compensation activities receive the preparation needed to perform their responsibilities.

1. Individuals performing Compensation activities are made aware of those components of the organization's compensation strategy that they need to understand to fulfill their responsibilities.
2. Individuals performing Compensation activities receive preparation to perform the Compensation practices needed to perform their responsibilities.
3. Individuals communicating information regarding the compensation strategy or an individual's compensation package are prepared to communicate this information appropriately.

Practices Performed

Practice 1

An organizational compensation strategy is developed.

The organization's compensation strategy typically includes:

1. The rationale behind the strategic decisions made in the compensation strategy.

2. The vehicles for providing compensation and how they are to be used.

Examples of vehicles for providing compensation include the following:

- Salary or hourly wages
- Piece rate pay or incentives
- Incentive pay (e.g., commissions or sales incentives)
- Periodic bonuses
- Profit-sharing
- Gain-sharing
- Health, life, or disability insurance
- Benefits such as holidays, leave, and educational assistance
- Daycare
- Retirement contributions
- Stock or stock options
- Professional society memberships
- Company furnished resources (e.g., cars, home computers)
- Special assignment pay

3. Definition of the recurring basis on which adjustments to compensation are made.

Examples of the recurring basis on which adjustments to compensation are made include the following:

- Periodic, such as annually or quarterly
- Event-driven, such as on the completion of a project, completion of a performance period, or anniversary date of the individual in the organization
- Other recurring bases, as defined by the organization

4. Criteria for determining and adjusting compensation.

Example criteria for determining and adjusting compensation include the following:

- Current competencies and skills
- Experience
- Education completed
- Availability of skills in the market
- Job evaluation
- Job or pay bands (broadbanding)
- Individual performance and similar merit-based factors
- Team or unit performance
- Rate of change in cost of living
- Promotion
- Increase in work responsibilities
- Behaviors or activities valued by the organization
- Contribution to improvement activities
- Personal improvement relative to prior performance
- Unit or organizational performance
- Continued benefit of past contributions or performance
- Functions performed beyond assigned responsibilities
- Additional skills developed
- Leadership exercised
- Willingness to take on difficult assignments
- Position responsibilities
- Impact of position on unit or organizational performance

5. Guidelines for using different compensation vehicles and criteria in determining compensation for different positions.
6. The method(s) by which compensation decisions are made for individuals (and positions, workgroups, or units, if appropriate).
7. Methods for establishing and maintaining equity in the compensation system.

8. The frequency with which the compensation strategy needs to be reviewed.
9. Criteria for evaluating the appropriateness of the compensation strategy.

Practice 2

The organization's compensation strategy is periodically reviewed to determine whether it needs to be revised.

1. The review is organized by the individual(s) assigned responsibility for coordinating Compensation activities across the organization.
2. The compensation strategy is reviewed against its objectives and effects.

Examples of data regarding compensation strategy effects against which the objectives of the compensation strategy should be reviewed include the following:

- Opinions and feedback of the workforce
- Recruiting and hiring
- Individual, workgroup, or unit performance
- Retention and voluntary turnover
- Competency development
- Career development
- Workforce planning

3. Revision of the compensation strategy is considered when:
 - ☐ it is not having the intended motivational effect,
 - ☐ it does not reflect current business or market conditions,
 - ☐ it creates inequities,
 - ☐ it is having unintended or harmful effects,
 - ☐ current practices are not competitive with benchmark data from similar organizations, or
 - ☐ better compensation concepts have been identified.
4. The decision to revise the compensation strategy is reviewed with executive management.

Practice 3

When appropriate, the workforce provides inputs for developing or revising components of the organization's compensation strategy.

Gathering input from individuals for developing or revising the compensation strategy is beneficial in gaining insights into the most effective compensation strategies, determining perceived fairness of the strategy, and generating buy-in and support for the strategy. Input can be gathered from individuals or from a committee representing some or all of the workforce.

Refer to Practice 4 of the Communication and Coordination process area for information regarding seeking individuals' opinions on their working conditions.

1. The workforce can provide inputs to the compensation strategy regarding:
 - ☐ benefits and drawbacks of current compensation vehicles,
 - ☐ criteria for determining or adjusting compensation,
 - ☐ fairness of the compensation strategy, and
 - ☐ methods for administering compensation.
2. If appropriate, individuals or committees can review proposed revisions to the compensation strategy with regard to:
 - ☐ impact of proposed changes on motivation and performance,
 - ☐ fairness of proposed changes, and
 - ☐ most effective ways to initiate and administer the changes.

Practice 4

A documented compensation plan is prepared periodically for administering compensation activities needed to execute the compensation strategy.

The compensation plan typically includes:

1. The financial data needed for administering the compensation strategy and guiding compensation decisions.

Examples of financial data for making compensation decisions include the following:

- Entry level compensation for positions, grades, pay bands, or other graduated structures in the compensation system
- Changes in the average or total range of compensation for grades, pay bands, or other graduated structures in the compensation system
- Size of cost of living or other standard periodic adjustments
- Sizes of compensation increases and how they are to be determined from defined criteria
- Changes in benefits or their levels
- Size of bonus or incentive pool(s) and how its distribution is to be determined
- Pricing related to stock options

2. The schedule of events and responsibilities for those involved in administering the compensation strategy.
3. How the methods described in the compensation strategy are applied in making compensation decisions.
4. How and when the compensation decisions are reviewed.

Practice 5**The compensation plan is designed to maintain equity in administering the compensation strategy.**

1. The organization maintains an awareness of internal, market, and business conditions affecting compensation equity.

Examples of methods for maintaining awareness of internal, market, and business conditions relevant to compensation include the following:

- Market compensation surveys
- Compensation benchmarks with local companies or industry peers
- Information from exit interviews
- Opinions and feedback of the workforce
- Information from recruiting activities
- Information from selected candidates who declined employment offers

2. Based on market and business conditions, adjustments are made to appropriate components of compensation to ensure that these components support the level of market equity intended by the compensation strategy.

Restoring compensation equity compared to market levels may require actions that last several months to several years.

3. Adjustments are made to appropriate components of compensation to establish the levels of internal equity across individuals with similar position responsibilities, skills, or performance levels intended for these components by the compensation strategy.
4. Guidance is provided for making compensation decisions that maintain the equity intended in the compensation strategy.

Practice 6 The organization’s compensation strategy is communicated to the workforce.

1. Information typically communicated to the workforce includes:
 - ☐ strategic basis and structure of the compensation strategy, and
 - ☐ events that result in changes to compensation.
2. Whenever the compensation strategy is changed, the changes are communicated to the workforce.

Practice 7 Each individual’s compensation package is determined using a documented procedure that is consistent with the organization’s compensation policy, strategy, and plan.

The procedure typically specifies:

1. How financial resources are allocated to units for assignment to individual compensation packages.
2. Who makes decisions that allocate compensation resources to units and to the individual’s compensation packages.
3. How criteria are applied in making decisions for individual compensation packages.
4. How compensation decisions are reviewed and approved before being communicated to individuals.
5. How compensation decisions are communicated to individuals.
6. How individuals may address issues related to their compensation packages.

Practice 8 Compensation adjustments are made based, in part, on each individual’s documented accomplishments against their performance objectives.

1. Responsible individuals determine compensation adjustments based on criteria established in the compensation policy, strategy, and plan.

2. The documented accomplishments against performance objectives are used as part of the criteria for determining the size of the adjustment made to each individual's compensation package.
3. Responsible individuals perform adjustments to compensation in accordance with a documented procedure.

The procedure for making adjustments to compensation would typically include the following:

- How compensation is determined for new hires
- How compensation is to be handled for people changing locations within an organization
- Frequency with which scheduled adjustments to individual compensation should be considered
- How adjustments are to be triggered by events, such as special achievements or promotions
- How the level of adjustment is to be determined
- The process for initiating and approving adjustments
- How compensation decisions are to be communicated to affected individuals
- How and when compensation decisions are to be reviewed for equity

4. Adjustments to compensation can be made on an exception basis, when required by business needs, with appropriate approval.

Examples of exceptions for adjustments may include the following:

- Serious inequities
- Retention of undervalued skills

Practice 9

Decisions regarding an individual's compensation package are communicated to the individual.

1. Adjustments to compensation are communicated to affected individuals prior to their effective date by an individual responsible for communicating compensation information to the individual(s) affected.

2. The basis for the size of the adjustment is explained along with appropriate information from the compensation plan that provides a better understanding of the basis for the adjustment.
3. Individuals are guided to where they can obtain more information on:
 - ☐ the compensation strategy or plan,
 - ☐ tax implications of compensation decisions,
 - ☐ laws and regulations governing compensation,
 - ☐ implications about choices they make among compensation alternatives, or
 - ☐ how to raise an issue about their compensation.

Practice 10

Responsible individuals periodically review compensation packages for those whose compensation they administer to ensure they are equitable and consistent with the organization's compensation policy, strategy, and plan.

1. Results of compensation decisions are compared within a unit to determine if compensation is equitably related to position responsibilities, skills, and performance across the members of the unit.
2. Results of compensation decisions are compared across units to identify inequities in how compensation is being administered.
3. Results of compensation decisions are reviewed across units to identify inequities involving individuals with similar position responsibilities, skills, or performance.

Practice 11

Action is taken to correct inequities in compensation or other deviations from the organization's policy, strategy, and plan.

1. When inequities are identified within or across units, they are communicated to both the appropriate unit managers and to individuals responsible for coordinating Compensation activities across the organization.
2. An approach for addressing the inequity is developed that accounts for:
 - ☐ fairness to the individuals involved,
 - ☐ compliance with laws and regulations,
 - ☐ consistency with the compensation strategy and plan,

- ☐ effect on morale and retention,
 - ☐ phasing of corrective actions,
 - ☐ immediate and long-term impact on the compensation strategy and procedures, and
 - ☐ precedence established for later compensation decisions or actions.
3. Corrective actions to improve equity are taken and communicated to affected individuals.

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of Compensation activities.**

Examples of measurements include the following:

- Growth in compensation
- Effects of criteria on compensation
- Compensation by position type
- Compensation by vehicle type
- Extent of compensation inequities
- Timeliness and efficiency of compensation activities

Measurement 2 **Unit measures of Compensation activities are collected and maintained.**

1. Units collect data as Compensation activities occur.

2. Measurements made to determine the status and performance of Compensation activities are maintained.

Examples of reasons for maintaining measurements of Compensation activities include the following:

- Periodic analysis to determine unit-level trends
- Aggregating data at the organizational level to develop organizational measures
- Analysis to determine organizational trends
- Evaluation of organizational trends

Measurement 3

Aggregate trends in compensation activities and decisions are measured and reviewed on a recurring basis.

1. Unit measures of compensation activities and decisions are collected and aggregated at the organizational level.
2. A historical database of compensation data is maintained.
3. Compensation data are periodically analyzed to determine trends and evaluate effectiveness.

Examples of trends that can be reviewed include the following:

- Compensation versus market by position
- Workforce perceptions regarding compensation practices and equity
- Growth in compensation over time
- Compensation versus individual, unit, and/or organizational performance

Verifying Implementation

Verification 1

A responsible individual(s) verifies that Compensation activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.

These reviews verify that:

1. Compensation activities comply with the organization's policies and stated values.
2. Compensation activities comply with relevant laws and regulations.
3. Compensation activities are performed according to the organization's documented practices and procedures.
4. Compensation activities are performed according to the organization's plans and selected methods.
5. Noncompliance issues are handled appropriately.

Verification 2

Executive management periodically reviews the Compensation activities, status, and results; and resolves issues.

These reviews verify:

1. The structure and growth of compensation.
2. Progress in performing planned Compensation activities.
3. Results from reviews of Compensation practices and activities.

Refer to Verification 1 for information regarding reviews of Compensation activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.
5. Trends related to compensation, both internal and external to the organization.
6. Effectiveness of Compensation activities in achieving their intended results.